



LEADERSHIP DEVELOPMENT IN HIGHER EDUCATION

Report of the Workshop for Vice-Chancellors

7-8 December, 2017



(Department of Higher and Professional Education)

National Institute of Educational Planning and Administration (NIEPA)

(Deemed to be University)

17-B, Sri Aurobindo Marg, New Delhi – 110016 (INDIA)

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We are thankful to the Honourable Minister for Human Resource Development, Shri Prakash Javadekar Ji, for gracing the occasion and interacting with the participants, which was a huge enabler and motivator for the workshop.

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New Delhi
05 June, 2018

N.V. Varghese
Vice-Chancellor, NIEPA

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Leadership Development in Higher Education: Report of the Workshop for Vice-Chancellors

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1. Introduction

India experienced a massive expansion of its higher education system in this century. The massification of the sector accompanied by technological changes in the delivery of higher education opportunities provides a great impetus to shape the future of higher education as well as facilitate institutional transformation. It also poses challenges both at the national and institutional levels. The challenges vary depending upon the type of institutions. Some of the old and reputed Central universities need to find ways to compete at the international level while newer ones are struggling to develop infrastructure, recruit faculty and initiate new programmes of teaching and research so as to establish their credibility as high quality institutions. The challenges faced by the diverse set of State universities in India relate to the acute scarcity of resources that act as a major constraint to sustain efforts to improve quality and make use of the technological opportunities available.

India has an affiliating system, whereby several hundred colleges are affiliated to some of the State universities which makes it impossible for them to provide academic leadership and support. Institutions of national importance are another category of institutions in India which are diverse, and have specific goals and objectives in many disciplinary or inter-disciplinary areas and, over a decade, governments have promoted them to prepare graduates and serve the country with specific areas of specialisation. The

emergence of private universities from the turn of this century adds another dimension to the complexity of governing the higher education system in India.

The move towards mass higher education also reflects a change in the public policies in the sector. It is important to note that massification in India does not entirely rely on the public funding and resources. There are compulsions in a mass higher education system to shift the incidence of financial burden from the public sources to households and students. The move towards reduction, if not elimination, of subsidies is a good example of this shift. The introduction of cost recovery measures and self-financing courses help overcome the challenges posed by financial crunch.

The objective of raising resources at the institutional level also introduces competition among institutions of higher education. An institutional leader today needs to face the challenge of meeting the financial targets on the one hand, and of devoting a part of the resources to achieve distributive justice and inclusive agenda of higher education on the other. In other words, all institutions of higher education need to make efforts to raise resources from non-traditional and non-governmental sources and need to maintain an optimal balance between efficiency and sufficiency in resources efficiency in its utilisation without compromising the equity considerations. This indeed is a tight rope walking and calls for a new discourse on understanding issues of competitiveness, efficiency and equity considerations in governing and managing institutions.

The leaders of higher education institutions need to understand this complexity because their operational efficiency is constrained by social, economic and political factors. It is important to devise ways and means of mobilising additional resources without commercialising institutions of higher education and to take the institutions to a high quality trajectory along with addressing equity concerns. The workshop will focus on such strategies through sharing of ideas, experiences, case studies and action plans at institutional and national levels.



The major challenge faced by most higher education institutions is on the quality front. There can be no disputing the fact that competent and committed faculty is the backbone of the system to build and sustain quality. Unfortunately, institutions of higher education in India are challenged by the serious shortage of faculty and that, in turn, affects teaching-learning severely and adversely.

Can there be ways to deal with the shortage of teachers? The technological reliance may help at least partially to overcome the issue of teacher shortages. The digital India initiatives such as SWAYAM, E-paathshalas, etc. can be relied on by institutions in order to get connected to programmes offering good quality lectures, assignments and evaluations. Many institutions are moving towards combining traditional classroom strategies with digitalised and virtual classrooms.

Another challenge to teaching-learning process is the student diversity in the classrooms. Students come from diverse social, linguistic and economic backgrounds. The traditional methods of classroom practices may sound less effective. We need to deliberate upon ways to strengthen the faculty, enhance their competency to deal with managing the changed social and technological context of teaching and learning. Further, we need to understand the ways of providing incentives, developing teaching and research skills along with curriculum planning and assessment practices. Institutions need to prepare themselves for accreditation and internal monitoring of quality on a continuous basis. Besides, the work environment has to be conducive so as to promote work culture among the faculty in teaching and research. The constituents of work environment need to be understood in terms of freedom, co-operation, effective communication among faculty members and between academia and administrative agencies. The workshop will have special focus on the role of Academic Leaders in creating incentive system and capacity development of teachers and nurturing a work environment in the institutions of higher education.

An important problem of governance at the institutional level is autonomy. At times, compliance of regulations issued by the government and regulatory councils creates conflicts due to a multiplicity of control under the federal structure. Some of these issues need to be highlighted and discussed to arrive at probable solutions to avoid conflicts and protect the autonomy of universities and institutions. The authorities of universities/institutions have decision-making powers that guide the functioning and determine the directions of development. The academic leaders find it difficult to democratise the decision-making processes in view of personal interests and whims of individual members which often hamper smooth governance. The real issues, challenges and ways of addressing them require discussion in the workshop.

In the case of affiliating universities the management of large number of colleges located in long distances from the university headquarters is yet another dimension of the problem. The varying and rich experiences need to be shared, and good practices followed in one university may be followed by another set of universities. The technology upgradation for managing and administering universities are at varying levels. There is great scope for technology adaptation both in small and large universities. The conduct of examination and declaration of results may have time-tested solution in a unitary set up of university/institutions where internal assessment is the practice. However, in an affiliating university where there are lakhs of students, fair assessment practices and timely conduct of examination are challenges of governance. Management of student affairs, including admission, monitoring of student progress and conduct of student union elections in an increasingly political environment is also an important challenge for the leaders of universities.

There have been several initiatives by the government in the recent past to relax regulatory systems, and enhance quality improvement measures. The proposal to establish 20 institutions of eminence, tiered autonomy, the ranking exercise and efforts to formulate new policy on education are some examples of the new initiatives which the workshop will discuss.



The Vice-Chancellors' Workshop

The Committee of Group of Secretaries constituted by the Prime Minister recommended for programmes to develop academic leadership targeting academic leaders like Vice-Chancellors, Registrars, etc. This workshop is the first in the series of workshops to be organised by NIEPA as a follow-up to the Committee.

This workshop was organised by the Centre of Academic Leadership and Education Management (CALEM), under the Pandit Madan Mohan Malaviya National Mission on Teachers and Teaching (PMMMNTT), of NIEPA, New Delhi.

Objectives of the workshop were:

- to familiarise the participants with the changing landscape in the governance and management of higher education in India;
- to share experiences on innovative initiatives at the institutional levels; and
- to discuss leadership challenges in bringing about institutional transformation.

The workshop began with discussions on the challenges faced by the higher education sector to bring about changes to facilitate institutional transformation. New pathways of taking the sector forward with inspiring institutional leaders to improve the higher education system in the country was brought to centre stage in the discussions. The Indian academia commands great respect internationally but higher education institutions of India do not enjoy high levels of credibility. Improving image of the institutions needs effective leadership to enhance research capacities and teaching competencies for contributing to the intellectual traditions and knowledge generation.

Developing effective institutional leadership requires selection of best candidates and orienting them to the compulsions of institutional transformation. The Vice-Chancellors require support for institutional change. This workshop attempted to

initiate a discussion on issues confronting the higher education sector and the pathways to revitalise institutional initiatives.

The discussion in the workshop centred mainly on the following themes:

- Access, Equity and Diversity in Higher Education
- Accreditation, Ranking and Quality in Higher Education
- Teachers, Teaching-Learning and Technology in Higher Education
- Financing Options and Strategies for Resource Mobilisation
- Governance and Management in Higher Education: Autonomy and Accountability
- Developing Research Capacity in Higher Education
- Leadership Strategies for Improved Institutional Performance

2. Inaugural Session

The workshop started with a welcome address by Professor N.V.Varghese, Vice-Chancellor of NIEPA. This was followed by introduction to the workshop and the detailed programme by Professor Sudhanshu Bhushan, Head, Department of Higher and



Shri Prakash Javadekar Ji, *Honourable Minister of Human Resource Development, Government of India*, addressing the Participants at the Inaugural of the Workshop.



Professional Education. The inaugural address was delivered by Shri Prakash Javadekar, Hon'ble Union Minister for Human Resource Development. His hour-long interaction with Vice-Chancellors set the tone for subsequent discussions in the workshop. His assurance of wholehearted support to the initiatives to reform the sector to make it the engine of growth and development of the country and leading the nation to greater heights was indeed well received by all the participants.

He emphasised on the importance of merit-based selection of institutional leaders and quoted examples from some of the recent VC appointments. He underlined the importance of bias-free and merit-based appointments of institutional leaders.

The Hon'ble Minister also highlighted various initiatives taken by the government and MHRD to revitalise the higher education sector in India. He emphasised on the digital initiative for expanding higher education and pointed out that 400 MOOCs courses have been introduced between June and December 2017. The important role of technology was identified in the Teaching-Learning process. Technology is advancing day-by-day. SWAYAM platform was launched on 9 July and now there are 400 courses with more than three lakh registered students. This is a revolution for teachers as there are online courses, lectures and material available free-of-cost. The example of the NAD - National Academic Depository - was also cited. It is important to have nodal cells for this initiative. Moreover, for remote universities, MOOCs can be used to offer courses: 60% face- to-face, 40% delivered through MOOCs or ICT courses.

He also elaborated on the new forms of autonomy granted to institutions of higher education. He further dwelled deep into the issue of institutional autonomy and explained the new thinking of graded autonomy linked to the institutional performance as revealed through the scores in the NAAC accreditation.

The Hon'ble Minister underlined the importance of ranking (NIRF) introduced by the government in 2015 and the new idea of institutions of eminence which is in the process of implementation.

He hoped that rankings, institutions of eminence and accreditation will introduce healthy competition among institutions. It was pointed out by the Minister that a new funding mechanism is in place, and hoped that it will help the higher education sector to expand faster and enhance its quality. He informed the Vice-Chancellors that his government has no intentions of reducing public funding and fund allocations to higher education. However, he felt that the institution should be in a position to mobilise more funds to meet the growing need for research and teaching-learning.

The Hon'ble Minister requested the Vice-Chancellors to set up institutional goals to enable them to be good leaders and, in turn, transform the universities. It is critical to analyse and identify problems and challenges and seek solutions by evolving strategies and actions to be a good leader. A key instrument for the success of institutions is institutional planning.

The participants enthusiastically discussed with the HRM various issues the Hon'ble Minister highlighted in his speech. Many participants expressed their great satisfaction to the assurance of the Minister that there is no intention to reduce public funding for higher education. He also responded to questions on autonomy and pointed out that the MHRD focuses on merit in the selection of Vice-Chancellors and Directors which will help institutional performance and enhance credibility of the academic institutions.

While concluding his inaugural address and interactions with the participants, the Minister congratulated NIEPA on organising this programme with the participation of many heads of institutions.

Shri K. K. Sharma, Secretary, Higher Education, Ministry of Human Resource Development (MHRD), in his remarks as Chairperson of the inaugural session, gave an overview of challenges faced by the sector and the recent initiatives by the government in the higher education sector. He further elaborated on the issues of graded autonomy, changes in accreditation processes, new funding mechanisms, etc.



The internal quality cells are important mechanisms. The IQAC provides an opportunity to identify gaps in the activities for higher NAAC grades. Similarly, in order to achieve NIRF grading and take part in the Institute of Eminence scheme, it is important that institutions prepare a strategic plan to engage in all the activities to achieve the parameters as it also becomes a learning exercise, and thus participation in these schemes is important. In addition, in-service training for teachers and college lecturers at the entry level is required to address the emerging learning requirements of the new and diverse groups of students who are entering into higher education institutions in the expanding higher education system.

Internal generation of resources with industry linkages should be encouraged and diverse source of resource mobilisation should be sought. Students are the biggest asset in devising new innovations, connecting with industry and mobilising new channels of resources. The example of Hackathon was cited where there are 32 solutions from more than 40, 000 students. It was shared that HEFA is not a replacement of traditional grants, rather it is an additional facility and the interest- free loan is a new grant with accountability interwoven in this grant. A discussion on differentiated fee structure in the public universities is also important to generate new sources of funding.

Academic research audit of 11 HEIs will be a point of discussion very soon as auditing is an important mechanism to improve quality. It was also recognised that ample time of VCs is spent on the administrative aspects in the affiliating system vis-à-vis university education. It was suggested that the VCs should not encourage the affiliating character of the university, demand not to affiliate more colleges, request State governments to create more universities, upgrade autonomous colleges to universities so that VCs are free to steer the academia and provide academic guidance to the institution that is directly under their responsibility. Research & Higher Education is a couple. Research is a continuous process. Patents and new research determine income and quality. Citing the example of Hackathon, it was suggested that such examples are important to promote research. Through HEFA, 50% for research infrastructure and for other activities is now

available from HEFA. More importantly, openness to all types of universities should be the focus, including private universities and building a sense of community. Therefore in committees, all types of institutions should be represented to welcome diverse view points. Transparency is the key for its success.

Dr. Aarti Srivastava, Convenor of the workshop, proposed the vote of thanks towards the end of the session.

3. Theme wise Proceedings

3.1 Access, Equity and Diversity in Higher Education

Challenges of massification:

Massification of higher education is reflected in terms of fast increasing Gross Enrolment Ratios (GERs) experienced, especially from the turn of this century. The social demand for higher education continues to increase. India has moved from a slow-going, low GER country to an accelerated growth in higher education with impressive gains in GER. The private sector contributed considerably to the fast expansion and massification of the sector.



Voices of the Participants.



It is estimated that jobs in the future will need not only more formal qualifications but also that post-secondary levels of education will become necessary for the job entry. This indicates that the role of higher education will increase further and the system will further expand.

The fast expansion is also accompanied by increasing student diversity. The new group of learners entering higher education institutions are first generation learners and learners from marginalised sections of the society, and thereby transforming higher education from an elite status to a mass character. The unprecedented growth of higher education in India is also accompanied by rising disparities. While gender disparities are narrowing down, regional disparities are widening. The urban centric nature and expansion of higher education contributes to widening of regional disparities. The social and economic disparities continue to persist. Several social and religious groups, such as Muslims, SCs, STs are still far behind the lowest represented groups in Indian higher education. Moreover, there are disparities as per medium of instruction, where lack of English language competence has become the main challenge.

Medium of instruction is an issue not only in higher education but also in primary and secondary education. In spite of the debates regarding vernaculars and English as medium of instruction, it is important to reckon that English has an important role in expanding the knowledge base as most of the resources and study materials are available in English. The lack of language competence also results in lack of confidence leading to drop-outs and could even lead to stress and failure. It is important for the educational leaders and policy makers to find a suitable solution.

The thematic presentations were followed by group work. The recommendations which emerged from the thematic presentations and the group work are the following:

- a) While massification is a necessary phenomenon in the present stage of development of higher education, there should be some mechanism to ensure that only academically good students are enrolled in higher

education. Otherwise quality may decline. The solution suggested was to introducing aptitude tests at the entry level to secure the quality of students entering the higher education sector.

- b) It was suggested that there is a need for introducing skill-based and vocational courses at the undergraduate level, which will provide avenues for students who are not academically good. This may also improve quality without adversely affecting access and enhancing overall employability in the sector. Therefore, strengthening and encouraging vocational courses in higher education is an imperative.
- c) Language proficiency seems to be an important aspect of the problem when the system is massifying and students from disadvantaged background are enrolled in the system. There should be institutional arrangements to strengthen the language proficiency of students from rural areas and those coming from government schools.
- d) There exists wide variations in terms of subject competencies of the students. Therefore, remedial classes to all needy students should be introduced. The UGC has schemes on these lines; however, these are not effectively functioning. There is a need to introduce remedial teaching in institutions wherever they are not existing, and make the scheme of remedial classes more effective in those institutions wherever they already exist.
- e) An important issue is to develop institutional tolerance to diversity. This will need to make all the specialised cells established for this purpose to be made functional and effective. This also needs a change in the mind set of academic community towards students coming from disadvantaged backgrounds so that they get more academic support in classrooms and get more integrated with rest of the students in the campus. The question is how to develop inclusive campuses.



3.2 Accreditation, Ranking and Quality in Higher Education

Accreditation and rankings are accountability measures indicating the relative position of institutions in comparison with other similar institutions based on a set of agreed upon indicators. India has a fairly long tradition of accreditation while ranking is relatively new. India established accreditation agencies for general higher education and technical higher education in 1994. The number of institutions accredited, however, remains very low. The NAAC is introducing modifications in the processes of accreditation from 2017 onwards.

Ever since the world university rankings began, discussions on relative absence of Indian higher education institutions on the global ranking list became an area of concern and discussions in India. In 2015, India introduced its own ranking in 2015. The results of the Indian ranking exercise were published in April 2016 and in April 2017..

The NIRF or the Indian Ranking has shown wide variations among the Indian HEIs. The participation in ranking is voluntary and less than 10% of the HEIs in India take part in the ranking exercise. More importantly, it is the relatively better performing institutions that are participating both in the accreditation and ranking exercises.

Suggestions to improve quality of Indian HEIs:

- a) It was felt that the focus should be on improving quality of higher education rather than on ranking. The key to the improvement of any academic institution is to create an ecosystem, where universities can perform well. Adequate financial support and facilities play an important role in this regard.
- b) One of the major problems faced by most of the public institutions (universities and colleges) is shortage of teachers. In some instances, a majority of the teaching positions are lying vacant. There is an urgent need to

address the issue of shortage of teachers as an initial step to improve quality at the institutional level.

- c) Autonomy is another important issue. Many institutions feel that interventions from government are more frequent which affect their autonomous functioning. Therefore, there is a need to grant autonomy with measures that will ensure accountability.
- d) Autonomy also depends on how the leadership selection process is organised. An effective leadership at the institutional level can bring about considerable changes in the academic orientation and quality of higher education.
- e) Most institutions in India do not prepare institutional plans and their day-to-day activities are not guided by any long-term perspective or plans. Therefore, institutional planning should form part of the management concerns.
- f) Both internal and external quality assessments are necessary to improve institutional performance. More importantly, internal quality assurance cells should operate effectively. They function mostly as arrangements for data collection and preparation of reports. There is a need to strengthen the academic resources in the Cells to make the internal quality assurance an effective mechanism to improve institutional effectiveness and standard in outcomes.
- g) The institutional diversity is wide and large in higher education in India. There is a need to adopt separate ranking parameters to reflect the institutional diversity. This will facilitate different institutions set standards, achieve targets and improve their positions on the ranking list.
- h) Outsourcing of accreditation has to be stopped.
- i) There are instances of accreditation by two agencies of the same institution. The example of agricultural universities was cited. These universities are subjected to accreditation by ICAR and NAAC. The parameters of accreditation and ranking not customised for agricultural universities.



- j) Accreditation should have a uniform core component of 60% applicable to all institutes and 40% of specific relating to local/specific problem.
- k) There is no ranking of open universities, therefore a look into the parameters is required. Support of the Government need to be taken into consideration. Some international parameters should be taken into account.

3.3 Teachers, Teaching-Learning and Technology in Higher Education

The massification of the higher education sector also implies diversity of students. A large share of students entering institutions of higher education is from non-traditional social groups and disadvantaged groups. The change in student composition has brought in new proficiency and orientation.. Teachers today are expected to become facilitators, navigators and path-finders. All teachers should be a reflective practitioner, proficient in course design and delivery. However, to foster effective teaching, the proper training of teachers is need of the hour.

The existing faculty development programmes are not effective enough. They focus more on the theoretical aspects and lack in discipline-oriented approach. The programme also needs to be upgraded so as to incorporate the recent metamorphosis of knowledge. The models to evaluate teacher accountability also lack in capturing the core aspects of teaching. The goals should be to evaluate the teacher performances in all areas in a transparent manner; so that, over time, the respective HEIs can excel in their overall performances. Considerable time and resource should be allocated for this purpose.

There is a need for structural changes to improve teacher competencies and increase accountability measures. Faculty development programme for all teachers with a longer induction course for newly recruited faculties should be organised. This can be facilitated through professional networks, e-learning communities of teachers and creating a repository of teaching-

learning resources. The focus should be on disciplinary knowledge as well as modern teaching pedagogies. Along with the 21st century skills or the global competences, the process of reform should consider curriculum redesign. UGC should provide a framework and a guiding curriculum which will be inclusive, and consider the academic freedom and participation of the faculty.

Suggestions for improvement:

- a) Interactive teaching pedagogy need to be made compulsory in all institutions. This will help students from all social backgrounds to benefit from the teaching-learning process more equally.
- b) The communication skills of the teacher should be enhanced. Similarly, the teacher attitude towards students needs to be more friendly so that the classrooms become places of discussions and collective learning..
- c) Faculty Development Programmes need to become a regular feature. An Induction Training Programme for 3-6 months' duration should be organised for newly recruited faculties. Similarly, continuous Professional Development Programmes of appropriate duration should be arranged for all teachers who are in the system. It is better to develop well defined professional development standards-mechanism within the institution itself to have FDPs.
- d) There is a need to introduce Leadership Programmes for senior professors who may be taking up administrative and managerial responsibilities in the same institutions or outside.
- e) The teachers need to use modern tools and instructions to supplement and complement age-old method of chalk and talk. There is a need to harness technology in the teaching-learning process. It is important to create positive attitude for ICT/MOOCs for having less number of teachers. Since many teachers are not familiar with the use of technology in teaching, there is a need for giving special training as part of the Professional Development Programmes.



Vice-Chancellor Participants at the Workshop.

- f) Another suggestion that came up was regarding the recruitment of teachers. The opinion seems to favour institution-based recruitment, and institutional leaders getting a free-hand in choosing faculty members.

3.4 Financing Options and Strategies for Resource Mobilisation

Funding is one of the major preoccupations of higher education leaders and, many a time, they are occupied with strategies for resource mobilisation for the institution. This is more so when there is a relative decline in the public funding of the institutions. Provision of quality higher education to 35 million students, when financial resources are declining is a major challenge in India. The Central assistance to university and higher education is coming down as reflected through the plan allocation. With new GST regime, the State governments get a share of 42%, resulting in increasing reliance on State governments for funding university and higher education in relation to technical education. It was also observed that RUSA funding is also becoming uncertain.

The household expenditure on higher education is on the rise. The student loans are also rising (amounting to over Rs. 70,000

crore) implying increased reliance on bank borrowings to meet household expenditure on higher education. Another important conclusion drawn based on the data reported that Central Government scheme of Higher Education Funding Agency (HEFA) (a scheme of commercial bank loans to institutions at zero interest) is considered as a substitute for reduced funding from the Central Government..

It can be argued that the recent reforms indicate a move away from Central grant to student support and institutional loans with increasing fee component for financing of higher education institutions. Market-based financing is supposed to affect the subsidy element and it may turn out to be a poor substitute to state funding.

Given the above scenario, resource mobilisation at institutional level has become a compulsion rather than an option in the wake of shortage of the government funding to institutions. This would lead to either institutions not attempting to mobilise resources by increasing fees, and suffer from shortages and thereby adversely affecting the quality of higher education, or institutions able to mobilise resources by increasing fees and overcome shortages and may impart relevant and quality higher education.

The data on Affordability of Higher Education by Discipline revealed that affordability for professional courses is very less as compared to liberal arts courses. This indicates that, market- based financing with increasing loan component for students will make higher education unaffordable to larger segment of population so we need to fund sufficiently the students through scholarships.

Therefore, there is a need for Central/State governments to increase State funding to meet capital and revenue expenditure. The other strategy to meet paucity of resources to allow small increase in fees and seek opportunities provided by CSR funding for institutions, seek philanthropic sources and alumni sources. The teachers can promote applied research that benefit industry, market and community.

**Some of the key recommendations:**

- a) It was pointed out during the discussions that the State government rules governing utilisation of resources forces institutions to restrict and do not allow to utilise the meagre resources allocated to them. Therefore, financial autonomy to be granted to the State Universities for timely utilisation of grants.
- b) Relaxation of IT/GST regulations on revenue generated by a university.
- c) Special development fund of Rs 10 crore should be granted to new universities till they are admitted for funding by UGC or RUSA.
- d) 12 B status be delinked from financing new State universities. Adequate resources like land, manpower etc. be allocated at par with Centrally-funded Institutes.
- e) Duration of one year should be given from the date of release of funds for optimal utilisation of funds.
- f) Increase in fund mobilisation through higher tuition fees, user charges, consultancy fee, introducing self-sustaining courses, etc..
- g) More systematic and timely support from government for initiating international collaborative ventures.
- h) Promote industry driven and owned self-financing courses.
- i) VCs' committees maybe constituted to chalk out modalities for mobilisation of funds for innovative ideas (e.g.. Virtual labs in new universities).
- j) The modalities and break-up for the periodicity and amount of grant to be released phase-wise, be well spelt out by MHRD/UGC/State government.
- k) Methodology of contracting within certain financial limits maybe changed so that universities can directly contact agencies for purposes of establishing university-industry relations and mobilising resources.

- 1) Universities should have sustainable finances. In the given circumstances, the most reliable source is student fees. Since general increase in fees may go against affordable higher education, higher education institutions may be encouraged to introduce self-financing courses. These courses may be organised parallel to the regular courses or separately.

3.5 Governance and Management in Higher Education: Autonomy and Accountability

The higher education institutions across the countries in the world are undergoing restructuring. The funding crisis and technological disruptions are changing the way the sector is governed and institutions of higher education are managed. A realistic analysis of governance and management of higher education institutions may be based on: a) changes within the sector and institutions both in India and abroad; and b) changes in other sectors within the country. This will help place higher education developments in a comparative perspective and in line with developments in other sectors.

The history of governance of higher education shows that that the governance and management mechanism remained unchanged during the first 200 years. It remained within the confines of, what is referred to as 'Republic of Scholars' model, implying full academic freedom, no interference, no intervention for both students and faculty. During the mid of 19th century, around 1862, public universities came into existence in France, USA, and after the independence of European Union colonies, the governments supported and funded the establishment of universities under certain regulations/conditions. This initiated the change from 'Republic of Scholars' model to 'State-controlled governance' model in higher education. The second half of the twentieth century, especially from the 1980s, experienced process of decontrolling of higher education and granting institutional autonomy to higher education institutions. This resulted in today's model of State supervision from distance.



Example of countries such as South Korea are cited to show how autonomy has helped improve positions in the ranking list. Singapore is also a good example of fully autonomous institutions helping to improve global ranking positions. The recent IIM Bill passed in Lok Sabha in India is also on the similar lines in terms of autonomy and accountability parameters. This model all over the world is known as autonomy with accountability model. The IT industry is a good example of adopting global practices almost autonomously leading to good rewards.

The universities should look beyond and innovate in a creative and enterprising way. For example, the innovations that have taken place at Silicon Valley of US, Japan, Germany and companies like Dell, Microsoft, M3, etc whose almost 40 per cent of revenue comes from innovations produced in the past two years. The reports of McKinsey, EY, Gartner; they all talk of future of jobs, talk about fourth industrial revolution, artificial intelligence, data analytics, 3D-printing, automation and mechanisation. Accenture came out with a new term 'liquid workforce' implying that the role of work force is going to change because of the digitalisation and industry 4 revolution. McKinsey said we think about what 3-4 jobs are going to disappear down the next three years and what would be required. In this context today we need to change the way we think and do things to connect with industry and align higher education to their needs to enhance employability of graduates.

Any governance structure, which is autonomous, should create an environment for individuals' professional growth in institutions. The role of governing body in developing autonomous working environment, particularly the criteria of accountability is very important for enhancing performance of the organisation. The new graded autonomy measures adopted by MHRD are helpful to strengthen institutional initiatives. The IIMs are working to prepare criteria and parameters for not only academic autonomy but also institutional and financial autonomy along with built in accountability features.

There is a strong relation between good governance and quality of education. There is a need to have a shift from the present

‘state of autonomy’ to ‘autonomy with accountability’ model. There are many challenges in governance of HEIs - both inside and outside the university system. Some of the critical issues of concern are as follows: Conflict between autonomy of institutions and governmental control in the management of university; Governance of institutions and role of the State government/Chancellor/Governor; Appointment of Vice-Chancellors and his/her powers; Role of the Board of Management/Governing Bodies/Executive Council/Academic Council, Academic autonomy of teachers and accountability, Participatory governance, Mechanisms and processes of quality management, Institutional support mechanisms, etc.

Recommendations:

- a) There is a need for a Model Act for universities/institutions in line with the Acts of the Central universities. The governing structures should be compact with less number of persons in the different governance bodies like Senate, Executive Council, Academic Council and Board of Studies.
- b) At present, there exists multiple regulatory bodies. There is a need for a national umbrella body for higher education so that regulations from multiple agencies on the same institution can be avoided.
- c) E-governance and open online courses should become acceptable and widely relied upon for educational decision-making.

3.6 Developing Research Capacity in Higher Education

Research is the engine of growth and development for the economy and is the mainstay for universities. Indian higher education system is very diverse with different types of institutional arrangements and varying research orientations. India has Central and State Universities, Colleges affiliated to State Universities, Research Institutions / Institutions of National Importance / Labs, Privately funded, Global Think Tanks, Professional Institutions and Private Labs, etc.



Many of the institutions of higher education in India are not seriously engaged in research. Indian research capacity is low but credible and growing, which is evident from the results of DST study on scholarly outputs. In case of science and technology, India's share in global S&T output has increased from 3.1% in 2009 to 4.8% in 2014 – 9th globally, whereas China's output increased to 19.9%. Similarly, India's citation share increased from 2.5% in 2009 to 3.7 % in 2014. However, India has low achievement in per capita and per scholar terms - 33.2 patents per million population in India in comparison to 4,205.8 (Republic of Korea), 2,566.8 (Japan), 1,782.6 (US) and 680.3 (China) (WIPO 2014).

On the other hand, the scholarly output in social sciences is low, e.g. India's share in Scopus indexed journals 1.9% (2009-14), rank: 11th (China 4.5%), annual average number of publications – 5215. And annual growth rate in publications – 11.8 % (global growth rate 7.9 %) is higher than global average. It has nearly 28 % indexed articles in collaboration with scholars outside India, which needs to be enhanced. However, it was pointed out that there is variation in output and is highly uneven and concentrated in some disciplines e.g. between sciences and social sciences; sciences reveal more output and among sciences, we are doing much more in the engineering subjects.

The research scenario is characterised by a phenomenon of high degree of unevenness and lack of depth which extends to groups of disciplines and geographies. The factors which influence the research capacity at the macro-level are : i) Funding – Core Funding and Research Funding for institutions. In countries such as USA which are in the forefront of research, nearly 70-80 per cent of research funding comes from State grants/public. Industry provides only 20 per cent of the research funding. ii) Regulatory Environment and Incentive Structures are important to promote research. The fiscal and administrative autonomy given to research institutions and universities, laboratories, recruitment and service conditions, and pay scales and promotion possibilities of research staff are very important for improved research output. iii) At the institutional level, factors such as Physical infrastructure, Academic and research infrastructure, Quality of admissions

and recruitment, Research environment, including training and governance of research are well recognised.

Recommendations:

- a) There is a need to research roles and responsibilities of institutions given the diversity of institutional arrangements to provide education. All institutions may not be in a position to carry out research activities at the equal level.
- b) A clearer understanding of priorities accorded to education, the academic faculty members will be able to distribute their time between teaching and research activities.
- c) There is a need for strengthening of Inter-institutional Collaboration at all levels – Local, National and Global. This will help sharing of scarce resources; providing critical space to weaker institutions; maximising research impact and building capacity as quality of research is very focused on collaborations in sciences and social sciences.
- d) Strengthening a culture of research at the institutional level is very critical for research, and is largely intangible and depends on a number of small but important initiatives which can provide critical mass. System-wise teaching pedagogy which encourages a research attitude, widening forums for peer to peer learning, easy access to academic learning resources and signaling focus on quality, originality and research ethics.
- e) Research governance is an equally important issue. Even when resources are earmarked to avail of the resources is a cumbersome process. There is a need to simplify procedures and grant greater autonomy, and provide support and guidance to young researchers and doctoral students is important. .
- f) Language proficiency among our students and teachers is also a constraining factor in research. Graduate level language and writing ability in at least two languages –



English (international business) and an Indian language need to be promoted.

- g) Research and teaching should go hand-in-hand; hence, all teachers must also be researchers, and students must be trained to have a research approach in their learning at every level of education.
- i) A doctoral degree must be treated as a professional degree with rigorous requirements of building and reinforcing broad-based domain knowledge, graduate seminars to upgrade research capacities, teaching assistantship as a professional teacher training and permission to undertake dissertation work after a comprehensive exam.
- j) Research Promotion Cell: To facilitate researchers through streamlining procedures, sensitising concerned support staff (accounts and audit) towards needs of researchers to have a smooth passage and of institutions to have willing and supported researchers.

3.7 Leadership Strategies for Improved Institutional Performance

Indian higher education institutions, in general, perform poorly. A good share of the blame is directed against the institutional



From Left to Right: Prof. Sanjay G. Dhande, *Former Director*, IIT Kanpur; Prof. Pritam Singh, *Former Director*, IIM Lucknow; Prof. N. R. Madhava Menon, *Chancellor*, NIEPA and Prof. N.V. Varghese, *Vice-Chancellor*, NIEPA.

leadership. It is noticed that effective leadership and improved institutional performance go hand-in-hand. The leaders can become effective when they have autonomy to set the targets to be achieved, strategies to be followed and have enough sources to resource the activities planned for. The need for autonomy is not only confined to academic matters but also to administrative and financial matters. Issues related to mobilisation of resources and generating internal resources need decision-making responsibilities which rest with the institutional leader.

There is an argument that most institutions are autonomous by statute. Therefore, autonomy is to be commanded and the extent of autonomy exercised depends on the leadership of the institutions. The story of successful institution builders in India show that they were leaders who could command respect and carry out academic reforms through close collaboration with academic community and those responsible for allocation of resources.

India does not have a well spread out system or programmes of developing institutional leaders. Many of the institutional leaders are academics who pick up leadership qualities through learning by doing.

It is noticed that, many institutions that believe in team work and sharing of responsibilities lead to better governance. Frequent consultations with faculty members through meetings will bring out a feeling of ownership of the responsibilities, transparency in dealing with issues and accountability in delivering the outputs.

One of the first steps to effective leadership is to clearly articulate the institutional mission and objectives. This may need developing a strategic plan for the institute. Another important element is developing a harmonious relation among different stakeholders or groups in the universities. This will help in developing a harmony in the university campuses.

Two non-negotiable responsibilities of the university activities are research and teaching. The institutional plan should adequately reflect these concerns. The institutional leadership should also



prioritise improvement in teaching and research as a core concern of the leader.

A Vice-Chancellor should have adequate knowledge about budgets and financial management, although financial administration will be carried out by the finance officers. Such an understanding will help the leader to devise programmes which can be realistically funded.

The teaching community, in general, supports efforts to enhance academic excellence through restructuring curriculum and delivering curriculum effectively. Pedagogical innovations in transforming the classroom teaching-learning processes are important aspects of effecting institutional transformation.

The increasing diversity of the student body poses challenges for addressing issues related to academic excellence and inclusive campuses. Bringing out innovations in pedagogy to deal with growing number of students with greater diversity.

The university leaders need to be exposed to the academic practices followed in the best universities in the world. This will help expand one's horizon and reposition one's role as institutional head.

4. Summary of Recommendations

Higher education in India is facing several challenges and is blamed for providing low quality education and producing unemployable graduates. However, it is interesting to note that the graduates produced by Indian institutions made significant contribution to develop technological advances in many instances, including in the creation of Silicon Valley in USA. Therefore, if planned properly and nurtured carefully, Indian higher education sector eventually can create world class institutions, produce high quality graduates contributing substantially to generate knowledge relevant to India and contribute to faster economic development. This optimism was reflected during the course of discussions and deliberations in the workshop.

The workshop underlined the importance of the State and Central governments working together and the need for UGC to play

a significant and effective role in providing a framework for development of higher education in the country. It was suggested that the UGC may establish a special cell within the UGC for seamless communication and co-ordination with the Vice-Chancellors.

The deliberations in the workshop clearly indicated the need for establishing a Centre for Leadership Training in higher education. Many countries have established such Centres and leadership training programmes. NIEPA may be requested to take a lead in establishing such a Centre. This will make programmes for capacity development a regular and integral part of planning for institutional effectiveness.

All universities need to consider research and teaching as priority areas. Curriculum changes and restructuring of courses should be a regular feature undertaken periodically. While it is important to take into account employability of graduates, universities should have a vision which is beyond immediate concerns of employment.

Each institution needs to prepare and develop an institutional plan taking into account research priorities, teaching-learning processes and curricular changes and such plans should act as the basis for directing institutional activities. The institutional plans need to prioritise long-term and short-term research priorities. Strengthening an institutional culture of research will help and promote inter-institutional collaborations in research at local, national and international levels. Institutional planning and strategic plans should become a part of the institutional development process.

Research governance within an institution is important. There is a need to earmark minimum funds for research. More important is the availability of research funds from different sources. There is a need to simplify procedures and grant greater autonomy and provide support and guidance to young researchers and doctoral students to promote a research culture in the institutions.

One of the suggestions was to establish Special Cells for Research Promotion in the universities. This will facilitate in streamlining



procedures, sensitising concerned support staff (accounts and audit) towards needs of researchers to have a smooth sail. Such cells in the institutions will also enable willing researchers and aide in monitoring their research activities.

The other core function of the universities and colleges is teaching. In a stage of massification of higher education, students from varying social and economic backgrounds may be entering higher education institutions. Many of them may be first generation learners, hailing from remote and rural areas and belonging to disadvantaged sections. Their expectations from higher education may be different from those traditional groups which used to dominate in enrolments in higher education. To take into account their expectations, it may be better to introduce aptitude tests to stream them into disciplines of their choice. This can be done at the institutional level and may not require state level or national level examinations.

It is also equally important to provide compensatory classes to support these students. In many instances the medium of instruction followed by the students from disadvantaged sections in their schools may be different from those followed in the colleges and universities. It was felt that all higher education graduates should be proficient in their regional language and English. There is a need for providing support to these students to improve their proficiency in the language, especially English. The UGC has several schemes to support students at the institutional level. But, there is scope to amplify and strengthen it.

Higher education institutions are not successfully addressing the issues related to student diversity leading to crisis situations on the campuses. There is an urgent need for strengthening the institutional mechanisms to address issues related to gender, equal opportunity cells etc. It is important that students belonging to all segments of society are valued equally and respected. This will help developing tolerance to diversity and inclusive campuses free of discrimination.

While ranking and accreditation are important, the institutional focus should be on improving quality. This requires adequate infrastructure, good quality teachers and effective teaching-learning process. The first step is to provide adequate financial support to create good facilities in order to carry out academic activities of comparable quality.

All institutions should have adequate number of teachers as per the established norms. However, as of today, most institutions of higher education in India face shortages of teachers. Therefore, efforts need to be taken to recruit teachers to fill in the vacant teaching positions in the institutions.

The quality of teachers entering the system is very important. While NET is quite helpful to identify a pool of potential teachers, that alone is not sufficient. There is a need for introducing professional induction programmes for newly recruited teachers and regular professional development programmes for those who are in the system.

Internal quality assurance cells are necessary to improve institutional performance and enhance quality of education provided. As of now, all IQACs do not function effectively to monitor quality in the institutions. They function mostly as arrangements for data collection and preparation of reports. There is a need to strengthen the academic resources in the IQACs to transform IQACs as an effective mechanism to improve institutional effectiveness and quality in outcomes.

The teaching-learning process in higher education is a less emphasised aspect of higher education. While teacher recruitments help in identifying right minds, they also need pedagogical training. Interactive teaching pedagogy needs to be made compulsory in all institutions and all teachers need to be oriented to such teaching methods. This will also help develop a more friendly atmosphere in the classrooms thereby making them spaces of collective learning.

Teachers need to be trained in relying on modern technologies while teaching. India has developed several MOOC courses which



can be used as an effective supplement to classroom teaching. Similarly, wherever opportunities support, one may use blended modes of teaching and learning and experiment with flipped classroom situations.

Universities should have sustainable finances. First, there is a need to increase State funding to institutions of higher education. This is more so in the case of state universities and colleges. Second, the rules and regulations constraining utilisation of meagre funds received from the State government need to be modified. Third, there is a need to introduce cost recovery measures without adversely affecting affordability.

Governance and management of higher education is important to increase institutional effectiveness. Governance issues are always linked to regulatory system, institutional structures and institutional leadership. The Vice-Chancellors felt that there is a need for a Model Act for universities/institutions similar to the Acts of the Central universities. The governing structures should be compact with less number of persons in the different governance bodies like Senate, Executive Council, Academic Council and Board of Studies.

At present, there exist multiple regulatory bodies. The case of Agricultural universities was cited as an example of existence of the multiple regulatory bodies. There is a need for a national umbrella body for higher education so that regulations from multiple agencies on the same institution can be avoided.

There is a need to promote E-governance and sharing of information on the website. This will bring a higher degree of transparency and confidence in the governance processes and decision-making in the universities.

Institutional autonomy is another important issue characterising governance and performance. Many institutions are feeling that the interventions from government are more frequent and they affect the autonomous functioning of institutions. Institutions are moving away from government controls. There is a need to

emphasise the model of autonomy with accountability to ensure operational efficiency of institutions.

Autonomy also depends on the institutional leader. Even when autonomy is granted, many leaders fail to make use of the opportunities available. Many of them continue to seek interventions from the government. An effective leadership at the institutional level can, no doubt, bring about considerable changes in the academic orientation and quality of higher education.



Participants, and the NIEPA Family.



Appendix 1

Detailed Programme

Day 1 : 7th December, 2017	
9:00-9:30	Registration
9:30-11:00	<p>Inaugural</p> <p>Chair: K.K. Sharma, Secretary, Higher Education</p> <p>Welcome Address: Prof. N.V. Varghese, Vice-Chancellor, NIEPA</p> <p>Introduction to the Workshop: Prof. Sudhanshu Bhushan, NIEPA</p> <p>Inaugural Address: Honourable Union Minister of Human Resource Development: Shri Prakash Javadekar Ji (TBC)</p> <p>Vote of Thanks: Dr. Aarti Srivastava, NIEPA</p> <p>Rapporteur : Dr. Nidhi S. Sabharwal</p>
11:00-11:30	TEA
11:30-13:00	<p>Chair: Prof. Shyam Menon, Vice-Chancellor, Ambedkar University, New Delhi</p> <p>Themes and Speakers</p> <p>Theme: <i>Access, Equity and Diversity in Higher Education</i></p> <p>Speaker: Prof. N.V. Varghese, Vice-Chancellor, NIEPA</p> <p>Theme: <i>Accreditation, Ranking and Quality in Higher Education</i></p> <p>Speaker: Prof. Furqan Qamar, Secretary General, AIU, New Delhi</p>

	<p>Theme: <i>Teachers, Teaching-Learning and Technology in Higher Education</i></p> <p>Speaker: Prof. K. Ramachandran, NIEPA</p> <p>Rapporteur : Dr. Sayantan Mandal</p>
13:00-14:00	LUNCH
14:00-15:30	<p>Chair: Prof. G. D. Sharma, Former Secretary, UGC</p> <p>Themes and Speakers</p> <p>Theme: <i>Financing Options and Strategies for Resource Mobilisation</i></p> <p>Speaker: Prof. Sudhanshu Bhushan, NIEPA</p> <p>Theme: <i>Governance and Management in Higher Education: Autonomy and Accountability</i></p> <p>Speaker: Prof. Bhimaraya Metri, Director, IIM Tiruchirappalli</p> <p>Theme: <i>Developing Research Capacity in Higher Education</i></p> <p>Speaker: Prof. Ravi Srivastava, CSRD, JNU, New Delhi</p> <p>Rapporteur : Dr. Neeru Snehi</p>
15:30-16:00	TEA
16:00-17:30	<p>GROUP WORK</p> <p><i>Access, Equity and Diversity in Higher Education:</i> Prof. A.K. Singh, NIEPA Faculty Facilitator</p> <p><i>Accreditation, Ranking and Quality in Higher Education:</i> Prof. Sudhanshu Bhushan, NIEPA Faculty Facilitator</p>



Teachers, Teaching-Learning and Technology in Higher Education:

Prof. Pranati Panda , NIEPA

Faculty Facilitator

Financing Options and Strategies for Resource Mobilisation:

Prof. Mona Khare, NIEPA

Faculty Facilitator

Governance and Management in Higher Education: Autonomy and Accountability:

Prof. Kumar Suresh , NIEPA

Faculty Facilitator

Developing Research Capacity in Higher Education:

Prof. Neelam Sood, NIEPA

Faculty Facilitator

Day 2 : 8th December, 2017	
9:30-11:00	<p>Presentation and Discussion</p> <p>Chair: Prof. Kumar Suresh, NIEPA</p> <p>Access, Equity and Diversity in Higher Education Accreditation, Ranking and Quality in Higher Education Teachers, Teaching-Learning and Technology in Higher Education</p> <p>Rapporteur : Dr. Sangeeta Angom</p>
11:00-11:30	TEA
11:30-13:00	<p>Presentation and Discussion</p> <p>Chair: Prof. Mona Khare, NIEPA</p> <p>Financing Options and Strategies for Resource Mobilisation Governance and Management in Higher Education: Autonomy and Accountability Developing Research Capacity in Higher Education</p> <p>Rapporteur: Dr. Garima Malik</p>
13:00-14:00	LUNCH
14:00-3:30	<p>Panel Discussion: Leadership Strategies for Improved Institutional Performance</p> <p>Chair: Prof. V. S. Chauhan, Chairman, UGC</p> <p>Panelists:</p> <p>Prof. N. R. Madhava Menon, Chancellor, NIEPA Prof. Pritam Singh, Former Director, IIM, Lucknow Prof. Sanjay G. Dhande, Former Director, IIT, Kanpur</p> <p>Rapporteur: Dr. Jinusha Panigrahi</p>
3:30-4:00pm	TEA



16:00-17:30	<p>Valedictory</p> <p>Chair: Prof. N.V. Varghese, Vice-Chancellor, NIEPA</p> <p>Welcome and Programme Report: Prof. Sudhanshu Bhushan, NIEPA</p> <p>Special Address: Shri. Amitabh Kant, CEO, Niti Aayog</p> <p>Vote of Thanks: Dr. Aarti Srivastava, NIEPA</p> <p>Rapporteur: Dr. Malish, C.M.</p>
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Appendix 2

List of Participants

1. Prof. Navin Sheth
Vice-Chancellor
Gujarat Technological University
Chandkheda, Ahmedabad,
Gujarat-382424
E-mail: navinsheth2017@gmail.
com, vc@gtu.ac.in
2. Prof. Gautam Kumar Basu
Vice-Chancellor MBB
University West Tripura, Agartala,
Tripura- 799004
E-mail: gkbmiju3@gmail.com
3. Prof. Arvind Kumar
Vice-Chancellor
Rani Lakshmi Bai Central
Agricultural University, Jhansi,
Uttar Pradesh
E-mail: vcrlbcau@gmail.com
4. Prof. Abdul Gani
Director R&D
Central University of Kashmir,
Srinagar, J&K- 190015
E-mail: abdulgani@cukashmir.
ac.in,
5. Prof. Nitin Raghunath Karmalkar
Vice-Chancellor
Savitribai Phule Pune University,
Pune, Maharashtra- 411007
E-mail: nrkarmalkar@gmail.com
6. Prof. Shailesh N Zala
Vice-Chancellor
M K Bhavnagar University,
Gaurishankar Lake Road,
Bhavnagar, Gujarat- 364001
E-mail: vc@mkbhavuni.edu.in
7. Prof. P. K. Radhakrishnan
Vice-Chancellor
University of Kerala,
Thiruvanthapuram, Kerala-695034
E-mail: pkrkm@yahoo.co.in,
8. Prof. Ashish S. Verma
Pro-Vice-Chancellor
Aurobindo Bhavan Jadavpur
University, 188 Raja SC Mallick
Road, Kolkata, West Bengal- 700032
E-mail: ashish-gyanpur@hotmail.com
9. Vikas Sahay
Director General
Raksha Shakti University,
Meghaninagar, Ahmedabad
Gujarat
E-mail: Dg@rsu.ac.in
10. Prof. Shweta Anand
Dean Academics
Gautam Buddha University, Greater
Noida, UP
E-mail: shweta.anand@gbv.ac.in
11. Bhavani Prasad Panda
Vice-Chancellor
Maharashtra National Law University
Maharashtra-400076
E-mail: bppanda2017@gmail.com
12. Prof. M. H. Wani
Registrar
Sher-e-Kashmir University
of Agricultural Sciences and
Technology of Kashmir
Srinagar-190025
E-mail: mgckashmir@gmail.com

13. Dr. K. P. Issac
Vice-Chancellor
APJ Abdul Kalam Technology
University, Trivanduram,
Kerala-695016
E-mail: kpissac@yahoo.com
14. Prof. Shashikala Wanjari
Vice-Chancellor
SNDT Women's University
Thackersey Road,
Mumbai- 400020
E-mail: vc@sndt.ac.in
15. Prof. R. D. Sharma
Vice-Chancellor
University of Jammu,
Baba Saheb Ambedkar Road,
Jammu Tawi (J&K)-180006
ranjirdsharma@rediffmail.com
16. Prof. Soumendra Mohan Patnaik
Vice-Chancellor
Utkal University, Vani Vihar,
Bhubaneswar, Odisha
E-mail: vcuu@rediffmail.com
17. Prof. V. Kesava Rao
Vice-Chancellor
Damodran Sanjeevayya National
Law Univesity, Andhra
Pradesh-531035
E-mail: vkesrao@rediffmail.com
18. Prof. Ravindra Kumar Singh
Dean A&A, Professor of Law
Gujarat ational Law University,
Knowledge Corridor Koba,
Gandhinagar, Gujarat-382426
E-mail: rsingh@gnlu.ac.in
19. Prof. Anjan Mukharjee
Pro-Vice-Chancellor
Tripura University, Agartala,
Tripura-799022
E-mail: provc@tripurauniv.in
20. Prof. Anjan Kumar Ghosh
Vice-Chancellor
Tripura University, Agartala,
Tripura-799022
E-mail: vc@tripurauniv.ac.in
21. Prof. Sudhanshu R. Vyas
Dean
SD Agricultural University,
Banaskantha, Gujarat-385506
E-mail: deanbasicscience@sdu.
edu.in,
22. Prof. M. R. Prajapati
Dean,
Agriculture SD Agricultural
University, Banaskantha,
Gujarat-385506
drmrprajapati@yahoo.com
23. Prof. Durga Bhavani Veeramchanen
Vice-Chancellor
Sri Padmavati Mahila
Visvavidyalayam, Tirupati,
Andhra Pradesh-517502 E-mail:
vcspmvmv@yahoo.com
24. Prof. Sanjiv Oza
Vice-Chancellor
Gujarat Ayurveda University,
Jamnagar, Gujarat-361008
E-mail: vc@ayurveduniversity.com
25. Prof. Ami Upadhyay
Director & Registrar (I/C)
Dr. Babasaheb Ambedkar Open
University, Gujarat- 382481
E-mail: ami.upadhyay@baou.edu.in
26. Prof. S. P. Kane
Vice-Chancellor
R. T. M. Nagpur University,
Nagpur, Maharashtra-440010
E-mail: svpkane@yahoo.co.in

27. Prof. Pramod Yeole
Vice-Chancellor
Kavi Kulguru Kalidas
Sanskrit University, Nagpur,
Maharashtra-440010
E-mail: dryeolepg@gmail.com
28. Prof. Ark Nath Chaudhary
Vice-Chancellor
Shree Somnath Sanskrit University,
Gujarat-268266
E-mail:choudharyarknath@gmail.
com
29. Prof. Dipak Kumar Sharma
Vice-Chancellor
Kumar Bhaskar Varma Sanskrit &
Ancient Studies University, Nalbari,
Assam-781337
E-mail: kbvsasun@rediffmail.com,
dipaksharma2@rediffmail.com
30. Prof. Gayadhar Panda
Professor, Electrical Engg. Deptt.
NIT Meghalaya-793003
E-mail: gayadharpanda@gmail.com
31. Prof. K. Ramasamy
Vice-Chancellor
Tamil Nadu Agricultural University,
Lawley Road, Coimbatore-641003
E-mail: vctnau@tnau.ac.in
32. Prof. H. Lamin
Vice-Chancellor
North Eastern Hill University,
Shillong, Meghalaya-793022
E-mail: hlamin3@hotmail.com
33. Prof. Kalyankar Namdeo Venkatrao
Vice-Chancellor
Gondwana University,
Maharashtra-442605
E-mail: drkalyankarnv@yahoo.com
34. Prof. Syed Md. Rafique Azan
Pro-Vice-Chancellor
M. M. H. Arabic and Presian
University, Patna, Bihar-800022
E-mail: azamrafique16@gmail.com
35. Prof. Rakesh Sehgal
Director
NIT Srinagar, J&K-190006
E-mail: director@nitsri.net
36. Prof. Amrendra Narayan Misra
Vice-Chancellor
Khallikote Cluster University,
Berhampur, Odisha-761001
E-mail: misra.amrendra@gmail.com
misraan@yahoo.co.uk
37. Prof. Pramod K. Verma
Vice-Chancellor
Barkatullah University, Bhopal,
Madhya Pradesh
E-mail: drpkverma@rediffmail.com
38. Prof. Nursadh Ali
Vice-Chancellor Acting
Aliah University, New Town,
Kolkata, West Bengal-700156
E-mail: nursadh@yahoo.co.in
39. Prof. Y. Hari Babu
Vice-Chancellor
SVVU Tirupati,
Andhra Pradesh-517502
E-mail: y_haribabudr@yahoo.com
40. Prof. Salil Misra
Pro-Vice-Chancellor
Ambedkar University,
Delhi-110006
E-mail: salil@aud.ac.in
41. Prof. G. N. Shinde
Pro-Vice-Chancellor
S.R.T.M. University, Nanded,
Maharashtra- 431605
E-mail: shindegn@yahoo.co.in

42. Prof. Madan Mohan Goel
Director
Rajiv Gandhi National Institute of
Youth Development,
Tamil Nadu-602105
E-mail: mmgoel2001@yahoo.co.in
43. Prof. B. L. Sharma
Vice-Chancellor
Pt. Deendayal Upadhyay Shekavati
University, Rajasthan-332024
E-mail: blsharmavc@gmail.com
44. Prof. Appa Rao Podile
Vice-Chancellor
University of Hyderabad,
Telangana-500046
E-mail: podilerao@gmail.com
45. Prof. P. T. Raveendran
Director
Kannur University, Kannur,
Kerala-673002
E-mail: ravindranpt@gmail.com
46. Prof. S. Ramakrishna Rao
Vice-Chancellor
Krishna University,
Andhra Pradesh-522001
E-mail: rvcrsunkari@yahoo.com
47. Prof. T. D. Kemparaju
Vice-Chancellor
Bengaluru North University,
Karnataka-563103
E-mail: tdkv2000@gmail.com
48. Prof. M. P. S. Ishar
Vice-Chancellor
Maharaja Ranjit Singh Punjab
Technical University, Bathinda,
Punjab-155001
E-mail: mpsishar@yahoo.com
49. Prof. Narendra Chaudhari
Director
VNIT Nagpur, Maharashtra-440010
E-mail: nsc0183@yahoo.com
50. Prof. Murru Mutyalu Naidu
Vice-Chancellor
Adikavi Nannya University,
Andhra Pradesh-533296
E-mail: mnaidumurru@gmail.com
51. Prof. B. Thimme Gowda
Vice-Chancellor
Rural Development and Panchayat
Raj University,
Karnataka-582101
E-mail: gowdabt@yahoo.com
52. Prof. Rajiv Kumar Mandal
Professor
IIT BHU, Varanasi, Uttar
Pradesh-221005
E-mail: rkmandal.met@iitbhu.a.in
53. Prof. Shashiranjana Yadav
Vice-Chancellor
Indian Institute of Teacher
Education Gandhinagar,
Gujarat-382016
E-mail: vc@iite.ac.in
54. Prof. Ravindra Kumar Garg
Dean Research King George
Medical University,
Lucknow, Uttar Pradesh-226003
E-mail: garg50@yahoo.com
55. Prof. K. Seetharama Rao
Vice-Chancellor
Dr. B.R.Ambedkar Open University,
Jubilee Hills, Hyderabad,
Telangana-500033. E-mail:
ksrvcaou@gmail.com,
vc@braou.ac.in

56. Prof. V. Venkata Ramana
Vice-Chancellor
Telangana State Council of Higher
Education, Telangana-500028
E-mail: vedulla@hotmail.com
57. Prof. Tummala Papi Reddy
Chairmocompletean
Dr. B.R.Ambedkar Open University,
Jubilee Hills, Hyderabad,
Telangana-500033
E-mail: chairmantsche@gmail.com
58. Prof. Shakeel Ahmad
Pro-Vice-Chancellor
Maulana Azad National Urdu
University, Hyderabad,
Telangana
E-mail: shakeel_du@yahoo.co.in
59. Prof. Sahahanaz Begum
Asstt. Professor
Osmania University, Hyderabad,
Telangana-500007
E-mail: shahanaj.iate@gmail.com
60. Prof. Khaja Althaf Hussain
Vice-Chancellor
Mahatma Gandhi University,
Nalgonda, Telangana
E-mail: vcmgu@gmail.com
althafhussain.ku@gmail.com
61. Prof. Alak Kumar Buragohain
Vice-Chancellor
Dibrugarh University
Assam-786004
E-mail: alakkrburagohain@gmail.com
62. Prof. Shyam Lal Soni
Director
National Institute of Technology,
Srinagar, Uttrakhand
E-mail: shyamlalsoni@gmail.com
63. Prof. A Muthu Manikam
Dean,
Faculty of Humanities & Head
Department of Education
Madurai Kamraj University
Tamilnadu-625021
E-mail: professormuthumanikam@
gmail.com
64. Prof. Rajeev Gupta
Pro-Vice-Chancellor
Rajasthan Technical University
Rajasthan-324010
E-mail: rgupta@rtu.ac.in
65. Prof. K. S. Jaiswal
Dean & Director
Faculty of Commerce & Management
Studies
Mahatma Gandhi Kashi Vidyapith,
Varanasi, Uttar Pradesh-221002
E-mail: kjaiswal_2001@yahoo.co.in



**National Institute of Educational Planning and
Administration**
(Deemed to be University)

Faculty Members and Staff

Prof. N.V. Varghese

Vice-Chancellor

Email: nv.varghese@nuepa.org

Department of Educational Planning

Dr. S.M.I.A. Zaidi, *Professor & Head*

Dr. K. Biswal, *Professor & Incharge (U-DISE)*

Dr. P. Geetha Rani, *Associate Professor (On Deputation)*

Dr. N. K. Mohanty, *Assistant Professor*

Dr. Suman Negi, *Assistant Professor*

Department of Educational Administration

Dr. Kumar Suresh, *Professor & Head*

Dr. Vineeta Sirohi, *Associate Professor*

Dr. Manju Narula, *Assistant Professor*

Dr. V. Sucharita, *Assistant Professor*

Department of Educational Finance

Dr. Mona Khare, *Professor & Head*

Dr. V.P.S. Raju, *Assistant Professor*

Department of Educational Policy

Dr. Avinash K. Singh, *Professor & Head*

Dr. Manisha Priyam, *Associate Professor*

Dr. S.K. Mallik, *Assistant Professor*

Dr. Naresh Kumar, *Assistant Professor*

Department of Higher and Professional Education

Dr. Sudhanshu Bhushan, *Professor & Head*
and *Head, National Resource Centre for Education*
Dr. Aarti Srivastava, *Associate Professor* and
Co-ordinator, National Resource Centre for Education
Dr. Neeru Snehi, *Assistant Professor*
Dr. Sangeeta Angom, *Assistant Professor*

Department of School and Non-formal Education

Dr. Pranati Panda, *Professor & Head*
Dr. Rashmi Diwan, *Professor*
Dr. Madhumita Bandyopadhyay, *Associate Professor*
Dr. Sunita Chugh, *Associate Professor*
Dr. Kashyapi Awasthi, *Assistant Professor*

Department of Educational Management Information System

Dr. Arun C. Mehta, *Professor & Head*
Dr. K. Biswal, *Professor*
Shri A.N. Reddy, *Assistant Professor*

Department of Training and Capacity Building in Education

Dr. Najma Akhtar, *Professor & Head*
Dr. B.K. Panda, *Professor*
Dr. Savita Kaushal, *Assistant Professor*
Dr. Mona Sedwal, *Assistant Professor*

National Centre for School Leadership

Dr. Rashmi Diwan, *Professor & Head*
Dr. Sunita Chugh, *Associate Professor*
Dr. Kashyapi Awasthi, *Assistant Professor*
Dr. Subitha G.V., *Assistant Professor*
Dr. N. Mythili, *Assistant Professor*



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Dr. Mona Khare, *Professor*

Dr. Nidhi S. Sabarwal, *Associate Professor*

Dr. Anupam Pachauri, *Assistant Professor*

Dr. Garima Malik, *Assistant Professor*

Dr. Jinusha Panigrahi, *Assistant Professor*

Dr. Malish C.M., *Assistant Professor*

School Standards and Evaluation Unit

Dr. Pranati Panda, *Professor & Head*

Dr. Veera Gupta, *Associate Professor*

Dr. Rasmita Das Swain, *Associate Professor*

Project Management Unit

Dr. K. Biswal, *Professor & Head*

Dr. K. Srinavas, *Professor*

National Fellow

Dr. A. Mathew, *Professor*

Advisor (IAIEPA Project)

Dr. K. Ramachandran, *Professor*

Registrar

Shri Basavaraj Swamy

General and Personnel Administration

Shri G. Veerabahu, *Administrative Officer*

Shri Jai Prakash S. Dhami, *Section Officer (GA)*

Academic Administration

Shri P.P. Saxena, *Section Officer*

M.Phil. and Ph.D. Cell

Ms. Rekha Rani

Finance & Accounts

Dr. Subhash Sharma, *Finance Officer (I/c)*

Shri Chander Prakash, *Section Officer*

Computer Centre

Dr. K. Srinivas, *Professor ICT & Head*

Shri Naven Bhatia, *Computer Programmer*

Publication Unit

Shri Pramod Rawat, *Deputy Publication Officer*

Shri Amit Singhal, *Publication Assistant*

Library and Documentation Centre

Ms. Puja Singh, *Librarian*

Dr. D.S. Thakur, *Documentation Officer*

Smt. Sulbha Sharma, *Professional Assistant*

Smt. Reeta Rajasekhar, *Professional Assistant*

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Shri Jai Prakash S. Dhama, *Training Officer (I/c)*

Hindi Cell

Dr. Subhash Sharma, *Hindi Editor*

Hostel Reception

Dr. Subhash Sharma, *Assistant Hostel Warden*

Dr. Kashyapi Awasthi, *Assitant Hostel Warden*

NIEPA Research Scholars

Aparajita Gantayet, Vartika Kaushal, Amardeep Kumar, Swati Waghmare, Bagesh Kumar, Sajad Ahmad Dhar, Monika Maini, Shivani Bakshi, Shalini, Shikha Diwakar, Sumit Kumar.

Special Mention

Soumini Ghosh, Mohit Chandna, Som Bahadur Gurung.



National Institute of Educational Planning and Administration (NIEPA)

17-B, Sri Aurobindo Marg, New Delhi – 110016 (INDIA)

EPABX Nos. : 26565600, 26544800

Fax : 91-011-26853041, 26865180

Website: www.nuepa.org