



# **Report on the International Seminar on Innovations in Financing of Higher Education**

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**NUEPA**



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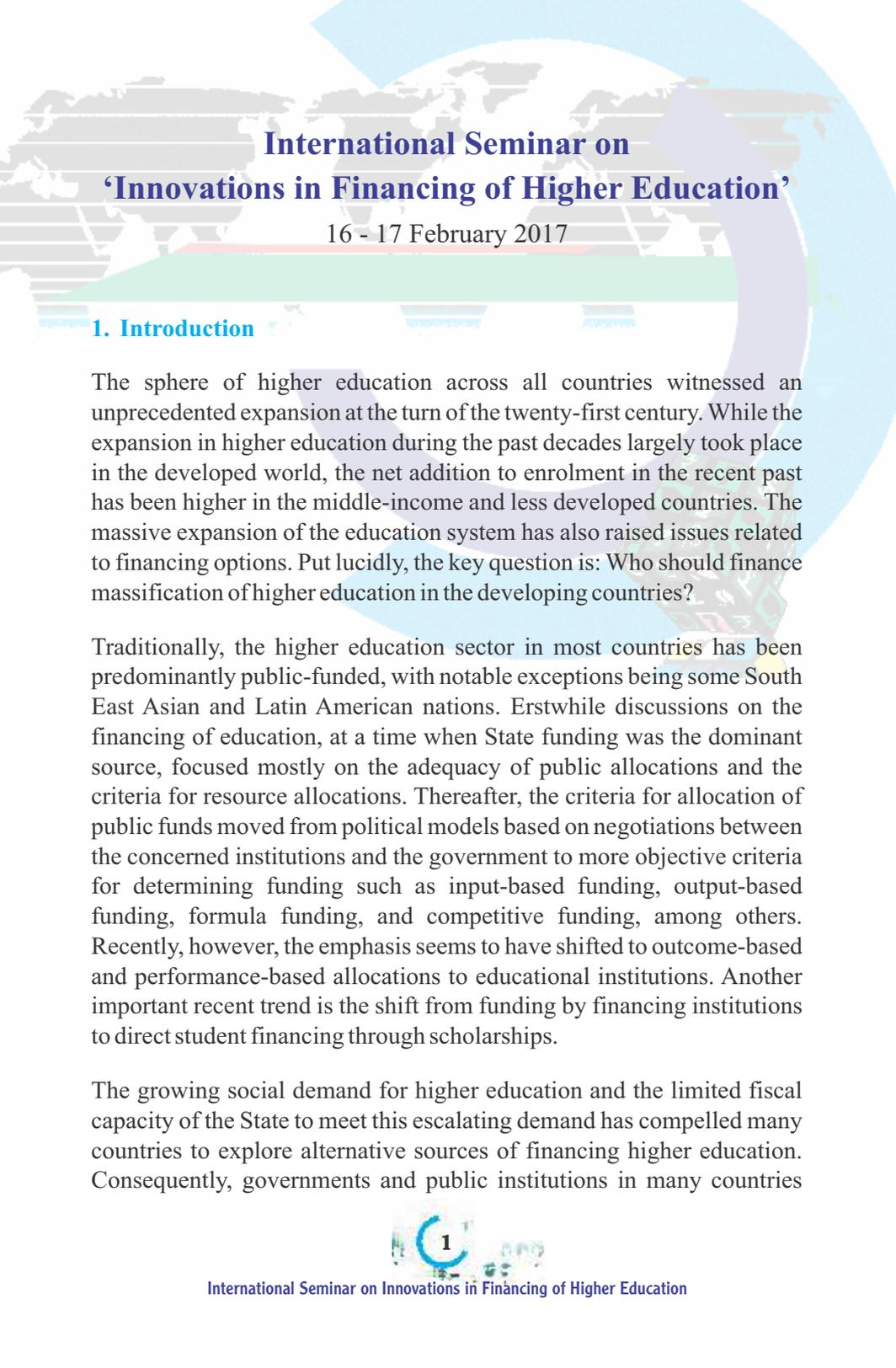
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Jinusha Panigrahi

# Contents

1. Introduction	1-3
2. Inaugural Session	3-6
3. Resume' of Discussions	6-27
3.1. State, Market and Financing of Higher Education	6-9
3.2. Financing of Public Higher Education Institutions in India	9-11
3.3. Privatisation of Public Institutions and Cost-sharing Measures	11-13
3.4. Entrepreneurial Universities	13-15
3.5. Private Higher Education Institutions	15-17
3.6. Student Support Systems	17-22
3.7. External Funding of Higher Education	22-24
3.8. World Class Universities: Lessons for India	24-27
Appendix 1: Detailed Programme	28-33
Appendix 2: List of Participants	34-41





# International Seminar on 'Innovations in Financing of Higher Education'

16 - 17 February 2017

## 1. Introduction

The sphere of higher education across all countries witnessed an unprecedented expansion at the turn of the twenty-first century. While the expansion in higher education during the past decades largely took place in the developed world, the net addition to enrolment in the recent past has been higher in the middle-income and less developed countries. The massive expansion of the education system has also raised issues related to financing options. Put lucidly, the key question is: Who should finance massification of higher education in the developing countries?

Traditionally, the higher education sector in most countries has been predominantly public-funded, with notable exceptions being some South East Asian and Latin American nations. Erstwhile discussions on the financing of education, at a time when State funding was the dominant source, focused mostly on the adequacy of public allocations and the criteria for resource allocations. Thereafter, the criteria for allocation of public funds moved from political models based on negotiations between the concerned institutions and the government to more objective criteria for determining funding such as input-based funding, output-based funding, formula funding, and competitive funding, among others. Recently, however, the emphasis seems to have shifted to outcome-based and performance-based allocations to educational institutions. Another important recent trend is the shift from funding by financing institutions to direct student financing through scholarships.

The growing social demand for higher education and the limited fiscal capacity of the State to meet this escalating demand has compelled many countries to explore alternative sources of financing higher education. Consequently, governments and public institutions in many countries





have started adopting various privatisation measures such as: a) better targeting and effective utilisation of public resources; b) introduction of cost sharing and cost recovery measures; and (c) promotion of income-generating activities in educational institutions.

The alternative strategies for financing higher education are centred around promotion of the private sector and encouraging foreign investment. The private sector has become the fastest growing segment in higher education in many countries, especially the developing ones. In fact, the rapid expansion and massification of the higher education sector in many developing nations including India, has been fuelled by funding from non-State sources and private institutions. Institutions for higher education in the private sector can be either 'for-profit' or 'not-for-profit' establishments. The most common trend witnessed in many countries has been the growth and expansion of pro-profit private higher education institutions.

Another major source of financing of higher education is foreign aid and foreign investment. Many countries, especially in Africa, rely considerably on external funding, both bilateral and multi-lateral, for development of the higher education sector. Presently, foreign funding for higher education primarily comes through Foreign Direct Investments (FDI), foreign institutions operating in other countries in the form of branch campuses, and through government-to-government collaborative projects. However, basic education continues to be prioritised in allocation of foreign aid as a justification for achieving the Millennium Development Goals (MDGs).

The Centre for Policy Research in Higher Education (CPRHE) at the National University of Educational Planning and Administration (NUEPA), New Delhi, initiated an empirical study on the financing of public higher education institutions in India. The study analyses the sources and nature of the flow of funds to universities and colleges in India from both the government and other sources, along with institutional mechanisms for prioritising resource availability and strategies for mobilising additional resources. The empirical evidence of





the study was generated from higher education institutions located in five states in the country including Bihar, Odisha, Punjab, Telangana, and Uttarakhand. The findings from this study and other similar studies provided valuable inputs for deliberations during the seminar.

The CPRHE, and the British Council of India jointly organised an International Seminar on *Innovations in Financing of Higher Education* during 16–17 February 2017 at the India Habitat Centre, New Delhi. The seminar brought together educationists, key experts, policymakers and policy analysts from eight countries including Australia, France, the Russian Federation, Sri Lanka, Tanzania, the United Kingdom, the United States of America, and India. Around 100 delegates from different countries participated in the seminar.

## Objectives

The objectives of the seminar were:

- To discuss the changing role of the State and the market in financing higher education in different countries;
- To discuss the experiences of different countries in adopting innovative measures for the mobilisation of additional resources to finance higher education; and
- To learn from the best practices of various countries for exploring the possibilities of mobilising non-State resources for higher education.

Overall, the seminar provided academics, researchers, experts, policymakers and members of various institutions engaged in research and policy to network with each other and share a common platform for discussing issues related to the financing of higher education.

## 2. Inaugural Session

The seminar got under way with a welcome address by Professor N.V Varghese, Director, CPRHE/NUEPA. The opening remarks were delivered by Richard Everitt, the Director Education and Society, British



Council India, who expressed his happiness at being part of the policy dialogue, the third in the series, and also said that he looked forward to various paper presentations at the seminar. Mr. Everitt's comments were followed by the inaugural address by Professor Bruce Chapman, Professor of Economics at the Australian National University, Canberra, who alluded to the changing scenario of the financing of higher education worldwide. Stressing that expenditure on education needs to be seen as an investment, he cited examples from the Australian Final Age Earnings Profile 2004 used to determine effective investment policies for education and the computation of funds to be paid by graduates. While discussing the loan theory, he also highlighted the need for government intervention in the financing of higher education. He focused on two types of loans—Government Guaranteed Loans (GGLs), which are offered in the US, Canada and Thailand, and Income Contingent Loans (ICLs), which can be taken in Australia, England and Hungary. He also averred that the biggest problem with regard to the GGL has to do with the repayment burdens (RBs) and repayment repercussions over time. Since repayment of debt is a critical issue in the case of student loans, it is imperative to accurately assess the debt levels for both the GGL and ICL options before granting of the loan. The other issues that need to be considered are the setting up of a legal collection agency, and institution of measures against those who default in payments. The actual loan amount to be paid to the borrower is a political decision and the loan has,



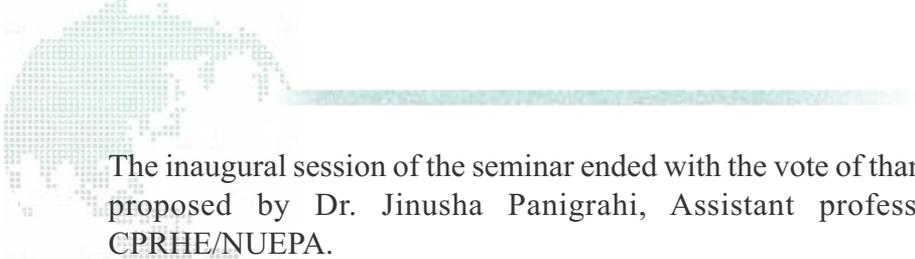


therefore, to be approved by the government. Thus, government intervention is critical in the financing of higher education, and the issuance of student loans and RBs are crucial issues with regard to the GGLs.

The inaugural session was chaired by Professor Jandhyala B.G. Tilak, then Vice Chancellor of NUEPA. While focusing on the problems of funding in higher education in his address, Professor Tilak noted that economic reform policies have impacted the modalities of funding of higher education across the world. Public funding for higher education is drying up in most countries with few exceptions due to the resource crunch faced by governments. He also argued that higher education need not necessarily be fully financed by the State, and that though higher education has traditionally been financed by the State, many governments have introduced several reforms for improving the public funding of higher education. These measures include special taxation, performance-based grants, and norm-based or need-based grants to increase competition among the public institutions. The mobilisation of resources from non-governmental sources includes cost recovery mainly through student fees and repayment of student loans.

Another commonly implemented measure is the income contingent loan scheme, which is operated either by the government or by the bank. The emergence of private higher education is another means of financing higher education, and many other countries have moved to a mix of public and private partnership to finance higher education. Professor Tilak concluded that despite the availability of these alternative financial arrangements, higher education still needs to be treated essentially as a public or quasi-public good, and that the role of the State in funding cannot be compromised.





The inaugural session of the seminar ended with the vote of thanks proposed by Dr. Jinusha Panigrahi, Assistant professor, CPRHE/NUEPA.

### 3. Resume' of Discussions

The delegates at the seminar engaged in vibrant discussions on various issues associated with the financing of higher education and the innovative methods being implemented by different countries in this sphere. The various questions that were raised and debated at the forum included: What are the State-market dynamics in the financing of higher education? What are the changing sources of financing of public higher education institutions? What are the varying practices for privatisation of public higher education institutions and noted instances of privatisation by entrepreneurial universities? What is the role of private higher education institutions in the provision of higher education, and the impact of this private participation vis-à-vis the role of the State? How can external funding help meet the resource requirements? What are the elements that go into the making of a world class university and their implications?

The following sections delineate the primary issues that constituted the discussion and discourse at the seminar.

#### 3.1. State, Market and Financing of Higher Education

The State enjoys a near monopoly in the provision of higher education in most countries of the world except some South East Asian and Latin American nations. However, a shift away from State funding to market-based operations in higher education has been witnessed during the post-structural adjustment period. Consequently, the financial burden of pursuance of higher education is being increasingly transferred to the students seeking





higher education, which has led to the emergence of many for-profit private institutions of higher education. These changes and developments have diverse implications for the financing of higher education.

There are arguments both for and against State funding of higher education. The case for State funding comes from the argument that higher education needs to be treated as a public or quasi-public good, and thus investments in this sector have implications for inter-generational economic and social inequalities. The argument in favour of private sector operations in higher education is based on the fact that opportunities for higher education are disproportionately skewed in favour of the financially well-off households which have the capacity to pay for this good. Hence, continuation of the high-level public support for higher education may primarily benefit only the financially privileged sections of society, generating, in turn, the perverse effects of public subsidisation. Therefore, the process of subsidisation in the higher education sector should be undertaken in a manner as to ensure effective targeting of the subsidies only towards the disadvantaged groups in society who cannot afford to pay for the exorbitant costs of such education.

Most governments have made policy choices, especially since the 1980s onwards, to reduce public subsidies, to target public funding more towards the deprived groups, and to encourage private sector operations in higher education. These policy measures are also intended to promote expansion and improve the quality of education in the higher education sector in the country.

As per the Soviet higher education model, universities were financed as part of the “Cover Expenditure approach”, and had no autonomy. The establishment of the Russian Federation in 1991 marked the emergence of a higher education system that differed in



many ways from its past structure. This was followed by the commencement of a new era in 1992, with the move towards financing based on per student expenditure. However, subsequently there has been an ostensible decline in the public funding of higher education by as much as 70 per cent as compared to the levels of State financing witnessed in the 1980s. These changes have also been accompanied by a phase of transition marked by competition for financial resources through market forces, in the financing of higher education in Russia.

Since 2012, institutions of higher education are being given full financial autonomy in spending, a move that follows the enunciation of transparent rules in funding. The result has been the generation of competition amongst institutions vying for good students and for non-budget revenues, particularly in the fields from research, publications, and various entrepreneurial activities.

Sri Lanka is an apt example of a country dealing with tremendous pressure on the issue of government budgets for the financing of higher education. The universalisation of secondary education in the country has mounted undue pressure for expansion on the higher education sector. However, the fiscal uncertainties faced by the State following the adoption of the public funding approach to higher education entail limited enrolment in higher education. The Gross Enrolment Ratio (GER) in higher education is only 17 percent but it is difficult to curb the aspirations of the youth who have completed secondary education and are seeking to enrol in tertiary levels of education. This situation exerts pressure for expansion on the higher education system, resulting in demand for greater resources. Under these circumstances, other countries in the region and elsewhere have adopted strategies to mobilise non-State funding for the development of higher education.





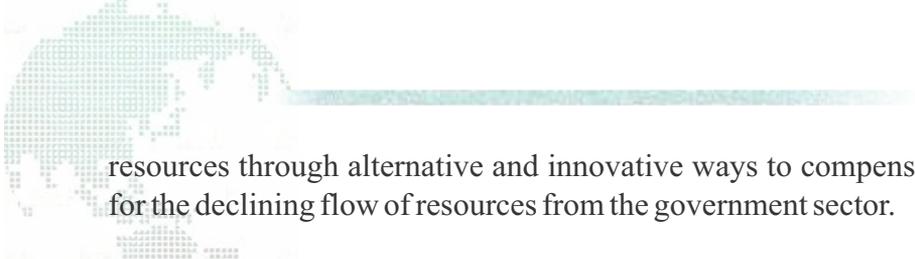
In contrast, Sri Lanka has neither promoted privatisation nor adopted any concrete measures to encourage private sector participation in the provision of higher education. The paucity of public funding and non-availability of private funding have, in turn, resulted in low GER, and poor teaching quality and low level of qualifications among teachers in the higher education sector in Sri Lanka.

In India, on the other hand, policy initiatives in the 1980s moved towards market-friendly reforms, and the allocation of public funding was based more on verifiable criteria. The country thus slowly moved towards output-based or performance-based public funding, and the targeting of deprived groups in student support schemes. It was pointed out during the seminar that different governments have been working with a variety of models in the financing of higher education including budgets based on historical considerations and on inputs, formula funding, estimated funding, performance contracts, and comprehensive funds, among others. Countries like Argentina, Brazil, Greece, India and Mexico are using negotiation as a criterion for allocation of funds, while other nations like Canada, China, the UK, France, Japan and Sweden utilise input-based mechanisms. Further, Denmark, Finland and Israel are working on output-based models, whereas Chile and the USA follow indirect allocation measures.

### **3.2. Financing of Public Higher Education Institutions in India**

The financing of public higher education institutions in India has witnessed different transitional phases. The first phase before 1980s where in the financing of higher education institutions was a government prerogative, was followed by the advent of the post-1980s new economic reforms, during which period institutions of higher education started rapidly moving towards the generation of





resources through alternative and innovative ways to compensate for the declining flow of resources from the government sector.

A multi-state study carried out by the CPRHE at NUEPA on the financing of public higher education institutions in India demonstrates how the sources of financing have undergone significant changes in the context of massification of higher education and the rapid expansion in enrolments, particularly in universities and colleges at the state level. Today, these institutions are less dependent on public funding for their expansion needs. The state level institutions, which account for 94 per cent of the enrolment, get meagre resources from the central government while the major share of public funding goes to central universities and institutes of national importance. Even funding by the state governments is not sufficient for the sustenance of many state level institutions.

State level institutions are thus compelled to find different ways of adjustment to the situation of paucity of public funding. The empirical evidence based on a study of different institutions indicates that student fees, income-generating activities, and self-financing courses constitute important sources of additional non-State resources in higher education.

There seem to be wide variations in the capacity of institutions to mobilise resources from different internal sources. While institutions located in urban and resource-rich areas find it easier to mobilise resources, their counterparts in rural and resource-poor areas find it difficult to do so. In view of the decline in public funding and the difficulty in mobilising resources, some of the institutions end up spending 96 percent of their recurring expenditures on salaries, leaving them with very little for the conduct of other academic activities in the universities. However,



as pointed out earlier, the Central universities are less affected by the declining public funding in comparison with their counterparts supported by the state governments.

The various strategies adopted to compensate for the reduction in public resources have severe repercussions. Some institutions focus more on cost-saving, cost-cutting, and cost-sharing measures. The most common among these cost-saving measures is the decision to not fill the sanctioned positions of academic and non-academic staff in order to save on salary bills. Other measures include the cutting of non-salary benefits for the staff, as well as cancellation of advocacy events like seminars and workshops. State level institutions are also implementing cost-sharing measures such as the introduction of user fee charges and other income-generating activities discussed in the next section.

### **3.3. Privatisation of Public Institutions and Cost-sharing Measures**

The move towards market mediation has resulted in reduced reliance on government funding for public higher education institutions. The market forces have entered the higher education sector both through privatisation of public institutions and the promotion of private institutions. Public universities have started adopting various forms of cost recovery measures to compensate for the decline in public funding support to meet the growing social demand for higher education. The privatisation of public institutions through cost recovery and cost sharing measures such as the introduction of tuition fees and self-financing courses, grant of student loans, and imposition of graduate tax are now among the acceptable measures practised by many public institutions.

Apart from the above suggestion for recovering the costs of education from the students themselves, it is also recommended that any increase in the cost of higher education in the current scenario should entail sharing a part of the expenses with the students. In the UK, cost sharing has been seen to help in augmenting student participation and improving the quality of higher education. This can primarily be attributed to the easy



availability of student loans, grants, bursaries and scholarships for the poor students. Hence, cost sharing is viewed as complementary to government financing in the UK.

A significant share of the resources required for managing public institutions is mobilised from non-governmental sources. In public universities in India, while government grants remain the major source of financing for a number of institutions, internal resource mobilisation shows an increasing trend. The components of internal resource mobilisation in a majority of the universities include examination fees, self-financing programmes, distance education programmes, and general administrative revenues (which includes examination fees and affiliating fees).



In addition to the above-mentioned resources, universities also engage in income-generating activities undertaking research and consultancy projects, introducing new short-term courses and programmes, and outsourcing internal services and other collaborative activities to meet the resource crunch.

In recent decades, public–private partnerships (PPPs) have become one of the popular methods of income generation by the public higher education institutions, with the use of land resources being a notable example of such PPPs. Other income-generating measures being adopted by many higher education institutions include the setting up of alumni associations to support academic ventures, and creation of corpus funds to tackle the resource shortage.

### **3.4. Entrepreneurial Universities**

The features of an entrepreneurial university include diversity in the sources of funding, strong governance and management structures, university–industry and university–community partnerships, diversified programmes, and a mission that promotes social values. One of the most important characteristics of an entrepreneurial university, however, is that it takes local traditions to global destinations. In the present context, such universities have become managerial in their approach and entrepreneurial in their orientation. The emergence of entrepreneurial universities is thus an important development on the education horizon.

In order to ensure the success of their educational programmes, entrepreneurial universities have to be willing to take risks, seek opportunities, create initiatives, and build networks. The sources of finance in an entrepreneurial university for the various services it provides include endowments, full-cost short term courses, enrolment of private (self-financed) students, running courses on distance learning mode (such as different forms of e-learning) and



programmes of continuing education to be paid for on a full cost basis, and setting up institutions abroad. Further, the services of its best professors can also be sub-contracted, as witnessed in Cuba, in which case a proportion of the consultancy fees received by the professors is shared with the university.

Entrepreneurial universities can also introduce innovations leading to patented products, wherein the licence to manufacture such products can lead to the generation of revenue for the university. Other examples of innovations in universities in Africa include the development of medicine for malaria. Entrepreneurial universities thus use their physical facilities to generate additional resources. For example, universities in Tanzania and other countries in Africa have also developed guest houses and hotels. For effectively managing these innovative ventures, entrepreneurial universities need a strong leadership and governance structure, entrepreneurship development in teaching and learning, and creation of an enabling environment for entrepreneurs.

A significant measure for enhancing the credibility of entrepreneurial universities is the setting up of the Accreditation Council for Engaged and Entrepreneurial Universities (ACEEU), which was established on a pilot basis in collaboration with University-Industry-Innovation Network (UIIN), with its headquarters in Amsterdam.

Universities in Africa have also embarked on an entrepreneurial university model to meet the growing social demand for higher education. While universities are viewed as social enterprises under this model, the type and nature of these enterprises would depend on whether higher education is viewed as a public good or a private good. Entrepreneurial universities in Africa generate revenue through various measures such as the 'dual track' model of



admission, and fee-paying 'parallel' students whereas the social justice aspect of the university is addressed by admitting 'regular students' whose fee is subsidised by the government. The parallel students (as opposed to regular students) thus attend the 'private' wings of the universities.

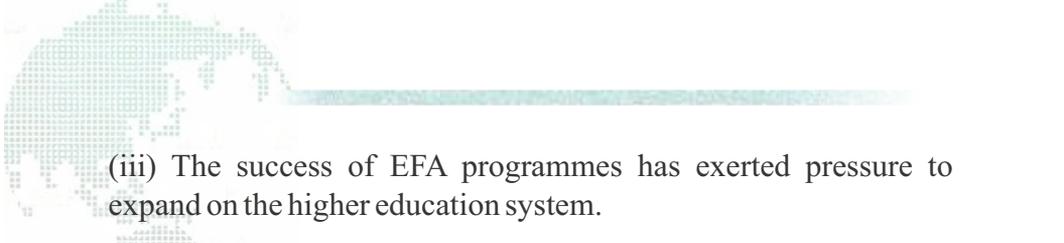
Entrepreneurial or enterprise universities can be of various types. They could be comprehensive public–peripheral private type universities, which take care of the 'excess demand' for higher education, or parallel private and public universities functioning in both the public and private sectors as can be witnessed in Japan. The third type of entrepreneurial universities constitute a public–private mix, which accounts for the 'differentiated demand' as in the case of universities in Germany and the UK.

### **3.5. Private Higher Education Institutions**

Traditionally, several countries in Latin America and selected countries in South-east Asia had private higher education institutions. However, the emergence of private institutions in higher education is a new phenomenon in African and Asian countries, notably in South Asia. Following are some of the major reasons for the emergence and expansion of privately operated higher education institutions:

(i) Fiscal constraints faced by the State did not permit expansion of public higher education institutions. Consequently, a large and unmet social demand for higher education encouraged the private sector to venture into the higher education sector.

(ii) Since the courses and study programmes offered by the public higher education institutions are not employment-friendly, the number of unemployed university graduates has increased.



(iii) The success of EFA programmes has exerted pressure to expand on the higher education system.

(iv) The improvement of economic conditions in many countries and the consequent emergence of a new middle class, which has benefited from the trend of rising incomes, has led to the establishment of private institutions both at the school and higher education levels in these countries.

The declining share of the State in the financing of higher education has fuelled the proliferation of private higher education institutions in many countries. This trend is particularly being noticed in the emergence and remarkable growth of private universities in Russia over the past few decades.

Similarly, there has been a sudden spurt in the growth of private higher education in Tanzania. Several innovative approaches have been initiated to facilitate financial sustainability for private universities in Tanzania including the initiation of competitive and attractive academic programmes, research and consultancy, establishment of a joint private higher education bank, internal income generation, and the adoption of unit-based funding, among other measures. The setting up of an education financing bank is also under consideration as a policy initiative for managing the financing of private universities in the country. However, all these private universities in Tanzania are functioning with a 'for-profit' motive, which is reflected in the high tuition fees they charge their students. Such universities have also deliberately established degree programmes categorized as priority programmes for national development, which would qualify them for obtaining student loans from the existing Higher Education Students Loans Board. Many of these universities, however, are ostensibly not eligible to offer such degree programmes as they have inadequate



and under-qualified human resources. Consequently, there has been an alarming increase in private for-profit universities and colleges in the country at the cost of access, equity, and quality.

In India, on the other hand, the government encourages private sector operations in higher education, leading to the opening and operation of many private unaided colleges in the southern zone, and the enthusiasm exhibited by private entrepreneurs in investing in technical, professional and management education. This has also led to the emergence of an increasing number of private unaided colleges for providing professional and technical education in India.

### **3.6. Student Support Systems**

The market process in higher education has resulted in shifting of the financial burden of higher education from the public exchequer to households, which has implications for equity in access to higher education facilities and affordability in terms of the pursuance of higher education, especially for the disadvantaged and marginalised families. Many countries that have adopted market-friendly reforms in higher education have also introduced student support systems on a large scale, which facilitate the disbursement of student loans, scholarships and various forms of financial assistance and subsidies.

The facility of student loan or education loan for higher education is the most popular method of student support systems in the marketing process of higher education. An education loan is different from other general loans such as those intended for the purchase of a car or a house, and therefore, a regular Time Bound Repayment (TBR) system may not be the suitable model for a student loan. A preferred alternative to a student loan is an income



contingent loan (ICL), in operation in the UK and Australia, wherein students have to repay the loans only when they are able to earn a certain amount of income. As a safety measure, the borrower in the incidence of an ICL cannot pay more than a certain percentage of his/her income as repayment amount (for example, 9 per cent in Australia).

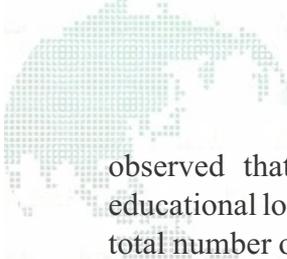
The ICL model entails a lower risk of defaulting in repayment as compared to the TBR model, as ICL is based on the capacity and ability of the borrower to repay the debt. However, both the ICL and TBR models have their respective advantages and drawbacks, and while ICL is more apt as an educational loan, the TBR model is better in the case of other forms of money lending. With the discussion moving to student support systems in other countries, it was pointed out that England, for instance, no longer has any free college for students. Public funding in the country has seen a significant reduction in recent years and universities are now being compelled to find new ways to support themselves financially. The result has been a steep hike in student fees, which is believed to be extremely high in some instances, such as GBP 9000 in the UK. The introduction of ICL in England is, in fact, the government's response to this rise in fees as this loan model allows students to repay the debt after they start earning more than a certain prefixed amount as income. While both universities and students have benefited from the introduction of this model, one of the lacunae in this model is that in case of a default, the burden of repayment is borne by taxpayers.

With the expansion of higher education, more and more students, particularly first-generation learners, are entering into the system. This situation enhances the importance of inclusion, especially since the new students also face difficulties in their initial days of college/university with ragging being rampant in many educational



campuses. In India, the University Grants Commission (UGC), under the Government of India (GoI) has initiated various schemes to tackle such issues. The UGC is trying to curb the practice of ragging and harassment of new students through several measures such as the setting up of a helpline, creation of an anti-ragging cell, and generation of awareness against such practices through a campaign. All these measures stem from the fundamental motto of ensuring quality in higher education. Along with its regular focus on improving quality, the UGC has also opened an e-pathshala, or an online platform as an open educational resource, wherein anyone can access study materials, videos, and other such resources. The Commission has also started scholarships and supports students during the post-education phase through placement cells and career guidance measures.

The facility of an educational loan as a support system in the financing of higher studies for students has received a mixed response in a developing country like India. The ultimate objective of financing of educational loans is to improve access to higher education for deserving students who lack financial resources to pursue higher studies. However, in the Indian context, it has been



observed that this objective is only partially fulfilled as an educational loan helps improve enrolment figures and enhances the total number of years of higher education. But it is widely felt that the system of offering educational loans is complementary to the traditional system of grants, and that the government instead needs to focus on the quality of education, which still needs attention despite an increase in the availability of finances for higher education through fee hikes and the increasing provision of student loans. This implies that the focus should now move to proper governance and management of higher education financing, with a stress on improving the overall quality of higher education.

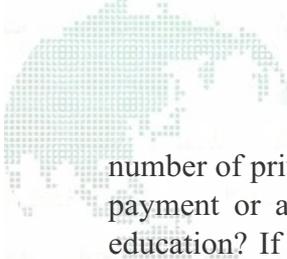
The Indian Government's initiative to finance higher education for improving access to it across all sections in society faces various challenges in implementation. The Prime Minister's Special Scholarship Scheme for Jammu & Kashmir has benefited students from the underprivileged families and from the marginalised castes and religions as also below the poverty line (BPL) families besides enhancing the employability of students enrolled in a large number of institutions of higher learning. However, there is a need to address some inherent limitations of the scheme during its implementation such as the prevalence of inadequate information about the programme, lack of inter-departmental coordination, use of the regional language as a medium of instruction in other states, non-availability of Internet facilities in remote areas, inadequate guidance to students for obtaining admission, non-cooperative attitude of the colleges, and challenges faced by students while attending the counselling centres prior to admission. It is argued that in the higher education system in India, the financial support system has to include subsidies, fee waivers, grants, and other support systems to promote higher education with education loans being a rather nascent entry in this arena.



Another initiative by the government to improve access to private institutions of higher education by underprivileged students is the fee reimbursement scheme (FRS), which is aimed at addressing the demand for higher education and equity concerns. The FRS for engineering courses was introduced in the Indian state of Andhra Pradesh in 2008 on the eve of the general elections. Initially, the FRS was intended only for students classified as the Other Backward Castes (OBCs) for entry into professional and engineering courses but was later extended to poor students and general courses. Although the term FRS implies that the student pays first and gets the reimbursement later, in actuality, under this scheme, the fee is not paid by the student at all but by the Government that offers the management of the institution concerned an assurance to pay the fees.

The FRS covers both public and private institutions including corporate colleges, and the income criterion is pre-specified to enable students to avail of this scheme. However, as in the case of certain other programmes, this scheme too though well-intentioned suffers from a poor design, and certain issues that hinder its implementation. The fee structure includes a nominal fee for students admitted through the convener quota and a high fee for students admitted through the management quota. The constraints plaguing the scheme include an inadequate number of seats in the programme, despite attempts to increase the seats under the management quota, a mismatch between the allocations in the budget and the actual requirements for fee reimbursements, and delays in release of funds under the FRS due to administrative factors.

The following issues and questions have been raised in the context of financing of higher education in view of the rapidly growing



number of private providers: Should the fee be viewed as a token payment or a technique of financing the entire cost of higher education? If the latter gains prominence, then should for-profit ventures be allowed in the higher education sector? What should be the limit of the fees and how can equity concerns be addressed? Since the vehicle of the market mechanism is the price, should the fee be viewed as a price? The challenge of higher education has three dimensions: Quality, Quantity and Equity, and it is important to identify the particular dimension(s) on which the resources need to be focused as also the exact amount to be and if all three have to be achieved how much financing will be required?

### **3.7. External Funding of Higher Education**

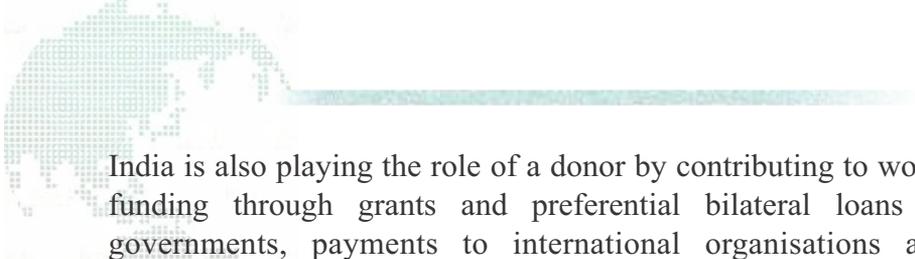
External funding is a major source of financing of higher education in many countries but over a period of time, external funding as a source of financing of higher education has declined, especially since many agencies have diverted their investments from higher to primary levels of education. Further, foreign aid as a share of GDP in the countries falling under the OECD's Development Assistance Committee (DAC) has also declined.

The recommendations made by the World Bank's 1994 Report titled, "Higher Education: The Lessons of Experience", comprises a variety of policy initiatives in higher education. This report is based on empirical evidence emanating from several studies, which points to the need for revisiting external funding priorities in education. The share of the World Bank's lending and technical assistance projects in tertiary education has increased, reportedly touching 23per cent in 2017. There are 80 lending and technical assistance projects run by the World Bank in collaboration with the governments in selective countries in Africa, East Asia Pacific, Eastern Europe and Central Asia, Latin America and the Caribbean, the Middle East and North Africa, and South Asia.



External aid is generally provided for economic and/or social development and welfare; it could be in the form of a grant or a soft loan. In the Indian context, rapid rise in aid receipts in education started in the 1990s but the volume of aid remained low. In fact, the grant of foreign aid in Indian education can be categorised under four phases during the post-Independence period. Phase I, the pre liberalisation period or prior to the 1990s, consisted of two sub-periods, that is, an era of Centralised planning with domestic funding during the 1950s to 1970s, followed by the era of emergence of project-based external funding between the 1970s and 1990s.

Phase II or the post-liberalisation (1990-2000) phase, was characterised by a sector-based approach to external funding. This period saw a decline in domestic funding in all the three sectors, with substantial volumes of external aid flowing through a multitude of foreign agencies, including the World Bank (WB), European Union (EU), Department for International Development (DFID), and United Nations Children's Education Fund (UNICEF). Phase III (2000–2010) was termed as a period of emerging self-reliance, sector-wide approach and aid consolidation. Phase IV or the post-2010 period entailed shifting sub-sectoral priorities with long-term commitments and international cooperation in higher levels of education. Although the number of partnering agencies went down during this period, multiple internal departments/ministries are involved in externally aided education projects. New directions have also emerged in external financing in the post-2010 period. Public universities are entering into memorandums of understanding (MoUs) for promoting joint and dual degree programmes; a broad range of programme-based collaborations ranging from technology to management to science and social science have been initiated, and India is emerging as a Regional Education Hub.



India is also playing the role of a donor by contributing to world funding through grants and preferential bilateral loans to governments, payments to international organisations and financial institutions, and subsidies for preferential bilateral loans provided through the Export Import Bank of India. India's contribution to world education aid through Official Development Assistance (ODA) is also likely to rise, with the country becoming more open to contributions through newer modes. There is, however, a need for greater clarity and managerial efficiency, more stringent monitoring and governance with strategic government intervention, and to ensure lucid directions and measurable deliverables in all these collaborative ventures.

India's priority region for allocation of aid is South Asia. One of the most important features of such aid is education and training. Education aid provided by India is basically intended for tertiary education, particularly technical education and education and training for entry into the information technology sector. Meanwhile, educational aid offered by India to Africa is mostly aimed at establishing new institutions, developing training programmes, and awarding scholarships for studying in India. In addition, India has signed technology cooperation agreements with South Africa, Tunisia, Egypt and Mauritius. As a major donor country, India is also expected to attain the level of the world's leading donor countries in the near future.

### **3.8. World Class Universities: Lessons for India**

World-class universities (WCUs) are symbols of quality, and having a WCU accords sense of pride, recognition, prestige and status to a country. WCU is a concept that has captured the imagination of everyone, be they parents wanting to send their children to such a university, students aspiring to attend it, and



faculty wishing to be recognised as faculty members of a WCU. Similarly, corporates and companies proudly hire graduates from WCUs, and governments seek to enhance their credibility by listing the number of WCUs operating in their respective countries. Noted educationist and erstwhile Professor at Boston College, Philip Altbach points out that everyone wants a WCU without even knowing what it is and how to attain it. The result is an unending spate of debates and discussions on the world rankings of universities and WCUs existing in the countries concerned.

It must be pointed out that the WCU is not a random concept and that creating such an institution entails high investments in terms of time and effort, coupled with the possibility of failure in actually achieving a WCU. For example, Oxford and Stanford have evolved as WCUs over centuries. Another example that can be cited in this context is that of Peking University in China, which was not a WCU 15 years ago but has since, been is emerging as a WCU with additional support being extended to it.

The higher education sector has seen different forms of initiatives to achieve excellence. The system of ranking universities to identify and promote WCUs are new forms of excellence initiatives. As of 2015, 50 excellence initiatives (EI) in 31 countries were studied. The amount of money invested for each EI varied. It was found that Israel and Japan had invested more than 10 million USD, while the initiatives undertaken in this direction in France, China, Singapore, and Taiwan showed that the amount entailed in the financing of these initiatives exceeded 100 million USD. For instance, a country like Kazakhstan spent about 40 per cent of its total HE budget on EIs, mostly focusing on research outputs.

Since many countries and universities have invested heavily in EIs, it is important to assess the outcomes of excellence-driven policies.



The Chinese example shows that critical initiatives can help universities move up the ranking table. The results were, however, not encouraging in the case of Germany and Japan. Most of the rankings favour the Global Research University Model. In Russia, the Academy of Science produces more scientific papers than the entire university sector. Similarly in France, the CNRS carries out a major share of the scientific research. Although, unlike China, the positive effects of EI initiatives in other countries have not helped improve their rankings, yet they have definitely helped improve the indicators of research productivity. The EI initiative in Russia was launched in 2012 when 15 universities were selected to participate in the programme, by an international committee constituted by the government, which comprised leaders of universities around the world. It must, however, be pointed out that EI initiatives are quite expensive, and that in some countries, nearly 5–15 per cent of their total budget is slated for the promotion of higher education.

Institutions, which are funded by the State, heavily oriented towards research, and have very strong governments may find it easier and faster to set up such institutions as compared to conventional systems. The WCU system also has certain constraints and limitations. Some countries have, for instance, exhibited a tendency to de-invest in the higher education system in order to aid the provision of funding only for selected institutions to enable them to become WCUs. These practices also foster the belief that WCUs, in fact, function as barriers to progress since they heavily draw on public resources, leaving very little funds for the development of other institutions. Further, the focus on research in WCUs leaves little scope for teaching in these institutions. In some instances, such universities also see students themselves as liabilities rather than assets.

A good WCU will promote critical thinking, academic freedom, creativity for innovation, and application of knowledge. The



faculty in these universities have the freedom to question, disrupt, and change ideas in the world. Such actions on the part of the faculty of WCUs necessitate the availability of large resources and freedom for academics in their thinking and actions for about 20–25 years for the WCU concerned to become a notable educational institution. Two approaches can be adopted for creating a WCU. The first is the incremental approach. Many of the prestigious universities have evolved over a period of time to become WCUs. The second is the fast-track approach wherein governments want universities in their respective countries to become WCUs over a period of, say, 10–15 years. In 2005, Professor Altbach estimated that a university needs around 500 million dollars to transform itself into a WCU. Therefore, if all universities try to source the best faculty from the best institutions in the world, this would result in a virtual mutual destruction of WCUs.

As regards India, it does not have a WCU and Indian higher educational institutions do not figure anywhere in the list of the top 200 WCUs across the world. India has, however, evolved its own ranking system (NIRF) for higher educational institutions. In a recent ranking of technical institutions, the Indian Institutes of Technology (IITs) were ranked third by Times Higher Education after the Massachusetts Institute of Technology (MIT) and University of California, Berkeley, in engineering education. This indicates that India does have the capacity to develop WCUs. It is imperative to promote knowledge production and fundamental research for improving competitiveness at the national level, and this can be achieved only by developing both high quality universities for research and education as well as WCUs.

The seminar concluded that developing countries like India needs to focus on the overall improvement of quality in higher education



## Appendix 1 Detailed Programme

**Day 1: Thursday, 16 February (Venue: Jacaranda Hall, India Habitat Centre, New Delhi)**

9:00

**Registration**

9:30 - 11:00

**Inaugural Session**

**Chairperson:** J.B.G. Tilak, Vice Chancellor, NUEPA, New Delhi, India

**Welcome:** N.V. Varghese, Director, Centre for Policy Research in Higher Education (CPRHE)

**Opening Remarks:** Richard Everitt, Director Education and Society, British Council India

**Inaugural Address:** Bruce Chapman, Australian National University, Australia

**Vote of thanks:** Jinusha Panigrahi, Assistant Professor, CPRHE/NUEPA

11:00 - 11:30

**Coffee and Networking** (Venue: Pre-function Area)

11:30 - 13:00

**Plenary Session:** *State, Market and Financing of Higher Education*

**Chairperson:** J. Veeraraghavan, Former Secretary, Ministry of Human Resource Development (MHRD), Government of India



<p>11:30 - 12:15</p> <p>12:15 - 13:00</p>	<p><b>Paper Presentations</b></p> <ol style="list-style-type: none"> <li>1. Isak Froumin, HSE University, Moscow, Russian Federation, and Mikhail Alashkevich, Center for Strategic Research, Moscow, Russian Federation</li> <li>2. P.S.M. Gunaratne , Vice Chairman, University Grants Commission (UGC), Sri Lanka</li> <li>3. Saumen Chattopadhyay, Jawaharlal Nehru University (JNU), India</li> </ol> <p><b>Discussant:</b> K. Biswal, NUEPA, New Delhi, India</p> <p><b>Open for Discussion</b></p> <p><b>Rapporteur:</b> Garima Malik, CPRHE/NUEPA</p>
<p>13:00 - 14:00</p>	<p><b>Lunch</b></p>
<p>14:00 - 15:30</p> <p>14:00 - 14:15</p> <p>14:15 - 15:00</p>	<p><b>Plenary Session:</b> <i>Privatisation of Public Institutions and Cost-recovery Measures</i></p> <p><b>Chairperson:</b> M. Anandakrishnan, Chairman, IIT Kanpur, India</p> <p><b>Keynote Address:</b> Claire Callender, University College London, UK</p> <p><b>Paper Presentations</b></p> <ol style="list-style-type: none"> <li>1. Johnson M. Ishengoma, University of Dar es Salaam, Tanzania</li> <li>2. Tridip Ray, Senjuti Patra, and Arka Roy Chaudhuri, Indian Statistical Institute, India</li> <li>3. Asha Gupta, University of Delhi, India</li> <li>4. Daniel Shah, Research Council, UK</li> </ol>

15:30 - 15:45	<b>Coffee and Networking</b> (Venue: Pre-function Area)
15:45 - 17:15	<p><b>Plenary Session:</b> <i>Financing of Public Higher Education Institutions in India</i> (Findings of the CPRHE study)</p> <p><b>Chairperson:</b> Padmaja Mishra, Vice Chancellor, Ramadevi University, Odisha, India</p>
15:45 - 16:45	<p><b>Panel Discussion</b></p> <p><b>Panel Comprising:</b></p> <ol style="list-style-type: none"> <li>1. Jinusha Panigrahi, CPRHE, NUEPA, India</li> <li>2. Harvinder Kaur and Balbir Singh, Punjabi University, Patiala, India</li> <li>3. Himanshu Shekhar Rout and Mitali Chinara, Utkal University, Odisha, India</li> <li>4. Bhaskar Awasthi, Navin Dhoundiyal, and Mohan C. Pande, Kumaun University, Uttarakhand, India</li> </ol> <p><b>Discussant:</b> D. Malathy, IIT Madras, India</p>
16:45 - 17:15	<p><b>Open for Discussion</b></p> <p><b>Rapporteur:</b> Malish C.M., CPRHE/NUEPA, India</p>
17:15	<b>Reception Dinner at British Council India, 17 Kasturba Gandhi Marg, New Delhi - 110001</b>



**Day 2: Friday, 17 February (Venue: Jacaranda Hall, India Habitat Centre, New Delhi)**

9:30 - 11:00

**Plenary Session:** *Student Support Systems*

**Chairperson:** Richard Everitt, British Council India

9:30 - 9:45

**Key note:** Bruce Chapman, Australian National University, Australia

9:45 - 10:30

**Paper Presentations:**

1. Pankaj Mittal, UGC, India
2. Gill Wyness, London School of Economics and Political Science, UK
3. P. Duraisamy, Madras Institute of Development Studies, India and D. Malathy, IIT Madras, India

**Discussant:** M. R. Narayana, Institute for Social and Economic Change (ISEC), Bengaluru, India

10:30 - 11:00

**Open for Discussion**

**Rapporteur:** Sayantan Mandal, CPRHE/NUEPA, India

11:00 - 11:15

**Coffee and Networking** (Venue: Pre-function Area)

11:15 - 13:00

**Plenary Session:** *Entrepreneurial Universities and Private Higher Education Institutions*

**Chairperson:** Kumar Suresh, NUEPA, New Delhi, India

11:15 - 11:30

**Key note:** Moses Oketch, University College London, UK

11:30 - 12:30

**Panel Discussion**

**Speakers:**

1. Bikas C. Sanyal, Former Advisor of UNESCO in Higher and Teacher Education, Paris

12:30 - 13:00	<p>2. B. Shiva Reddy, Former Professor, Osmania University, Hyderabad, India and K. Anji Reddy, Mahatma Gandhi University, Telangana, India</p> <p>3. C. Krishnan, Government College, Kodancherry, Kerala, India</p> <p><b>Discussant:</b> Md. Muzammil, University of Lucknow, India</p> <p><b>Open for Discussion</b></p> <p><b>Rapporteur:</b> Nidhi S. Sabharwal, CPRHE/NUEPA, India</p>
13:00 - 14:00	<b>Lunch</b>
14:00 - 15:30	<p><b>Plenary Session:</b> <i>External Funding of Higher Education</i></p> <p><b>Chairperson:</b> K. Ramachandran, NUEPA, New Delhi, India</p>
14:00 - 14:45	<p><b>Panel Discussion</b></p> <p><b>Speakers:</b></p> <ol style="list-style-type: none"> <li>1. Francisco Marmolejo, World Bank, India</li> <li>2. G. D. Sharma, SEED, New Delhi, India</li> <li>3. Mona Khare, NUEPA, New Delhi, India</li> </ol>
14:45 - 15:15	<p><b>Open for Discussion</b></p> <p><b>Rapporteur:</b> Neeru Snehi, NUEPA, India</p>
15:15 - 15:30	<b>Coffee and Networking</b> (Venue: Pre-function Area)

15:30 - 17:30

**Open Panel:** World Bank, British Council, CPRHE  
Panel on World Class Universities- Lessons for India

**Chairperson:** N V Varghese, Director, Centre for  
Policy Research in Higher Education

**Panel Discussion**

**Speakers:**

1. Isak Froumin, HSE University, Moscow,  
Russian Federation
2. Moses Oketch, University College London,  
UK
3. Francisco Marmolejo, World Bank, India

**Rapporteur:** Anupam Pachauri, CPRHE/NUPEA,  
India

**Departure**





## Appendix 2

### List of Participants

#### International Participants

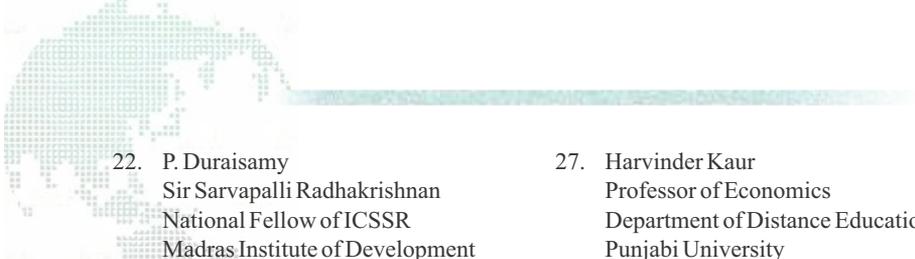
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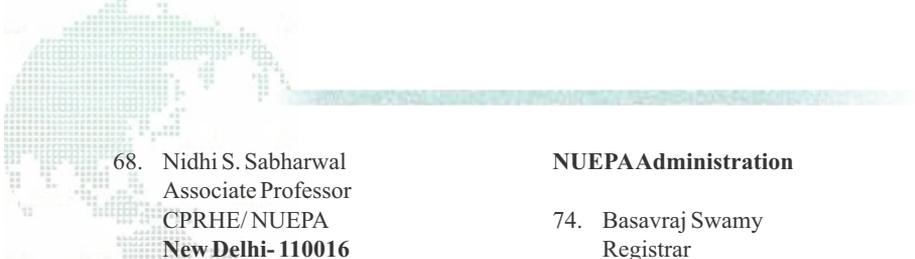
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