



CPRHE Research Report Series
Governance and Management of Higher Education

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CPRHE Research Report Series 2.4

Governance and Management of Higher Education in India:

A Study of Selected Institutions in
Uttar Pradesh

**Rakesh Raman
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May, 2024

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Research Project Co-ordinated by Dr. Garima Malik

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Preface

The Centre for Policy Research in Higher Education (CPRHE) is a specialised Centre established in the National Institute of Educational Planning and Administration (NIEPA). It is an autonomous centre and its activities are guided by an Executive Committee which approves its programmes and annual budgets.

The Centre promotes and carries out research in the area of higher education policy and planning. Ever since the Centre became fully operational in July 2014, it has been carrying out research studies in the thrust areas identified in the perspective plan and the programme framework of the Centre. The thrust areas for research include access and equity, quality, teaching and learning, governance and management, financing, graduate employment and employability. At present the Centre is implementing research studies in selected institutions in all major states of India.

The present research on Governance and Management of Higher Education in India is one of the important studies initiated by the Centre in selected institutions in the states of Maharashtra, Rajasthan, Tamil Nadu and Uttar Pradesh. The study analyzes governance structures and processes in different institutions. The present report is part of this study. This research report is based on the analysis of the empirical evidence generated from all the institutions selected for case studies in Uttar Pradesh.

A comparative analysis was carried out and a synthesis report was prepared based on the data generated from the institutions selected from all four states. Some of the findings suggest that the Central universities enjoy more autonomy than the State universities. The State universities have government officials and public representatives on their governing bodies and they exercise control over the functioning of these universities. Although the Central universities enjoy more autonomy there is more centralization of decision making at the level of the offices of Vice Chancellors. It was found that institutions enjoyed academic autonomy while there was limited administrative and financial autonomy.

Along with autonomy comes the issue of accountability which needs to be strengthened in all institutions. The teaching learning process and learning outcomes need to be closely monitored while maintaining academic freedom of teachers. Moreover, the Internal Quality Assurance cells need to function effectively.

The study was carried out by research teams identified in each of the institutions selected for the study. I would like to thank research teams from Savitribai Phule Pune University, Bharathiar University, University of Rajasthan and Banaras Hindu University for their active participation and cooperation in carrying out the study.

The CPRHE organized research methodology workshops at different stages in the progress of the study. The implementation of the research study was monitored by an expert committee specifically constituted for this research study. I appreciate the efforts put in by my colleague Dr. Garima Malik of the CPRHE to coordinate the research activities effectively and prepare the synthesis report.

The present report is prepared by a team consisting of Professor Rakesh Raman, Professor Seema Singh and Dr. Sanjeev Kumar and is based on the information collected from Banaras Hindu University and its affiliated college Vasanta College for Women. I thank them for their efforts in carrying out the study and completing the report. The research study also has brought out other three state reports and a synthesis report.

N.V. Varghese
Former Vice Chancellor
NIEPA, New Delhi

Acknowledgement

Penning down the acknowledgement of any work is definitely the most satisfying moment for any researcher. On the one hand, it signals the completion of the work he or she was deeply engrossed in for months together and on the other, it gives to him/her the final opportunity to thank all those whose help, cooperation, guidance and good wishes had made the work a reality.

For the three of us who joined hands together, it was indeed a wonderful opportunity to work on this project related to governance and management of higher education sponsored by the Centre for Policy Research in Higher Education (CPRHE), NIEPA, New Delhi. For our nation which is in the stage of massification of higher education and dreams big to reap demographic dividend, the path is really rugged and obtrusive. The higher education system in India is facing critical issues like maintaining quality (handling the poor world ranking woes), employability of the taught, unwieldy affiliating system, inflexible academic structure, and uneven capacity across various subjects, eroding autonomy of academic institutions, low level of public funding, etc. These problems raise serious questions about the governance and management of higher education in our country and make the present study apropos. The CPRHE deserves accolade for undertaking this study and then choosing Universities from all parts of the country for conducting this national project.

This project had Prof. N. Varghese, Director of CPRHE as leader and Dr. Garima Malik as the coordinator. It was indeed a life time opportunity for our team to get a chance to work with Prof. Varghese. His vast experience, knowledge, research insight and understanding of the higher education system helped us in having the real feel of the issue under investigation. His addresses and deliberations during the research methodology workshops were keenly awaited by all the teams as it gave them a definite direction. His critical assessment on important issues of the first draft of the report was crucial in giving final shape to the present report. We sincerely thank him for the faith he reposed on our team by giving us the opportunity to work on this national project and are deeply obliged to him for sharing his knowledge and expertise at every stage of this research work.

Dr. Garima has been 'patience and grace' personified. She very meticulously planned the project, developed the detailed proposal, coordinated between different teams, organized workshops for conceptualization, methodology and drafting of report at appropriate time and was a source of constant academic and logistic support. She effectively conducted the workshops and sent us the consolidated write ups of the discussion that took place and the decisions arrived and I must say that these were of great help to us. She visited Varanasi and helped us with initial planning of the project and focus group interviews. I salute her dedication, perseverance and patience. We feel sorry for having missed her calls at times and more often deliberately as we knew it would be a reminder call for having missed the deadline. Apart from Dr. Garima, we had interaction with other faculty members of CPRHE- Dr. Nidhi Sabharwal, Dr. Pachauri, Dr. Malish and Dr. Panigrahi. The interactions were of great help to us in conceptualising the issue and developing better understanding of the research problem. We would like to place on record our appreciation for a wonderful presentation by Dr. Sabharwal on preparing policy brief. We thank them for their academic inputs and look forward to maintaining such academic interactions with them in future. We are also thankful

to Mrs. Anjali and all staff of NIEPA Hostel for the hospitality and support extended to our team during our visit to attend the workshops.

The study was conducted in four Universities simultaneously and the workshops organised gave us the opportunity to interact with and learn from colleagues from these Universities. Besides the formal discussion that we had during the workshops, the informal interaction and chit-chats were of great help. This allowed us to develop a close academic relationship with them, and to know the way their Universities function, the best practices they follow and above all make a more prudent assessment of where we as a University stand. The review of the first draft on our report made by the team from Bharathiar University, Coimbatore, Tamil Nadu was really very helpful and we thank Prof. Annalakshmi, Dr. Bhavna and Dr. Buvana for the same. I thank members of all the teams for their inputs, generosity and cooperation, especially Prof Sanjeev Sonawane, Savitribai Phule Pune University.

The present study aimed at studying governance and management of higher education and as such required us to meet the University officials, academic heads, teachers and students of chosen faculties/ college. Without the help and cooperation of our respondents, it would have been impossible to move even a step. We are thankful to all the respondents. The Vice Chancellor, Registrar, Joint Registrars, Deans and Heads of the Department, College management, Principal and Faculties all keep a very busy schedule; still they were kind enough to give us time for personal interviews and group discussions (in case of faculty members) and very patiently quenched our thirst. We feel sorry at times for asking very awkward and difficult questions relating to their functioning and sensitive issues of governance. They were unanimous in their vows to collectively work and create a more vibrant and effective system. The research team was really moved by the hospitality of the respondents once they accepted to respond to our probing. We thank them for lots of cups of tea that were offered to us and also their cooperation. We are also indebted to research scholars and students with whom we had focus group discussions. These young people were very keen in explaining how they see the system functioning and pointing out their perception of its strengths and weaknesses. We salute their enthusiasm, love and association with their institution.

Thanking my teammates and words of commendation for their contribution would be like patting my own back; still I feel I am obliged as the team leader to do that. Prof. Seema Singh, who happens to be from the faculty of education, has been the pivot around which we roamed. She provided the theoretical footholds, did a tremendous job in conducting focus group and personal interviews and also helped with preliminary draft of a chapter. Though, because of health issues and her other professional commitments she could not spare much time later for the project but the feeling that we can always fallback to her if need arises gave us the real strength. Sanjeev Kumar was a real revelation. He is a complete package - a man from history, he has been associated with the management of the college in so many ways, assisting the college administration and coordinating with external agencies like UGC, NAAC etc. As sort of practicing educational administrator, his insights were of great help and so were his knowledge of his institution and the aspects of governance. We had several rounds of discussion together and every time I returned wiser. He very meticulously

drafted and revised different sections of the report and was instrumental in giving the final shape to it.

Finally, we must also thank our family members who provided emotional and moral support during this research project. They always stood by us and encouraged us to finish the work as early as possible.

It is needless to say that for all the shortcomings, I am only to be blamed. I sincerely ask all to excuse for my academic limitations and lack of exposure in the field if these have diluted and compromised the quality of the report.

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Abbreviations

ADB- Asian Development Bank

AGB- Association of Governing Boards of Universities and Colleges

AICTE- All India Council for Technical Education

BoS- Board of Study

DC- Department Council

DRC- Departmental Research Committee

GER- Gross Enrolment Ratio

HE- Higher Education

HEIs- Higher Education Institutions

MHRD- Ministry of Human Resource Development

NAAC- National Accreditation and Assessment Council

NCTE- National Council for Teacher Education

OECD- Organization for Economic Cooperation and Development

PPC-Policy Planning Committee

RUSA-Rashtriya Uchatar Shikchha Abhiyaan

SAAC- State Accreditation and Assessment Council

UGC- University Grant Commission

Chapter 1

Introduction

Introduction & Problem Statement

For a demographically younger, transition economy of ours whose fortune & furtherance in the emerging world order relies crucially on the extent to which it is able to reap its ‘demographic dividend’; the importance of higher education can hardly be over-emphasised. Education has to be given critical focus and quality of human resources has to be raised to the competitive level. The task of expanding the higher education network and at the same time ensuring that the nation is able to sustain a system that produces graduates with knowledge, competencies, skills and attitudes; graduates who can think theoretically and imaginatively; gather and analyse information with rigour; critique and construct alternatives, and communicate effectively orally and in writing; is by any standard Herculean.

Starting in 1857 with the establishment of three public universities in the presidency headquarters of Chennai, Kolkata and Mumbai, Indian higher education system today stands as one of the largest in the world (Agarwal, 2006). With around 32.4 million students, 0.72 million teachers and 36 thousand institutions in 2014-15 (MHRD, 2014), the higher education sector in India is not only large but also the second largest in the world after China. The sector’s growth and expansion during the post-independence period has been broadly categorized into three stages (Varghese 2014):

1. Stage of High Growth & Limited Access (1950-70);
2. Stage of Declining Growth in Enrolment (1970-1990); and
3. Stage of Revival & Massive Expansion of Enrolment in Higher Education 1990 and After.
This has been the period in which higher education has left its elitist character and massification (Trow, 2006) has taken place.

Table 1.1: Size, Form & Dimensions of Higher Education in India: A Summary Picture

Universities		Colleges	
Type	Number	Type	Number
Central University	43	Diploma Level Technical	3541
State Public University	310	PGDM	392
Deemed University	127	Diploma Level Nursing	2674
State Private University	143	Diploma Level Teacher Training	4706
Central Open University	1	Institute under Ministries	132
State Open University	13	Total	11445
Institution of National Importance	68	Gross Enrolment Ratio (2011-12)(23.6 % at present)	20.4
Institutions under State Legislature Act	5	Total Enrolment	32.4 m (2014-15)
Others	3	Number of Colleges per lakh eligible population	25
Total	712	Pupil- Teacher Ratio	25.6 :1

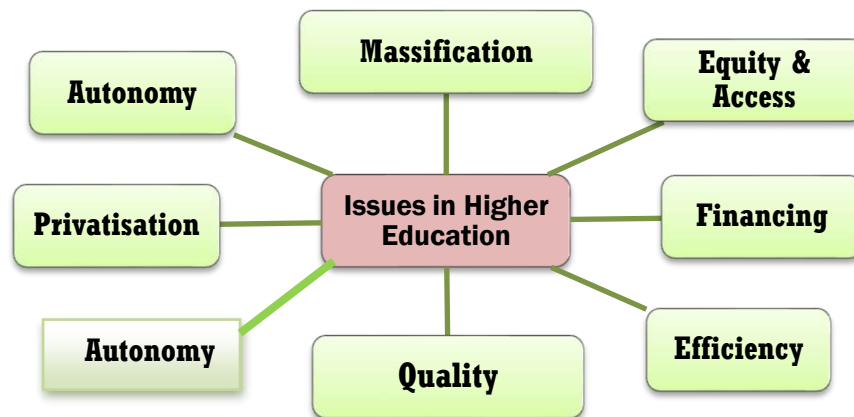
Source-MHRD (2012), MHRD (2014), Varghese (2015)

The Critical issues and the Research Problem

Despite phenomenal growth of higher education since 1990 (number of Central Universities jumping from 10 to 43, State Universities from 137 to 310, GER from 5.9 to 32.4 so on and so forth) the growth has not been able to keep pace with the demand for higher education. The growth of good quality institutions has been negligible and the system is characterized as a sea of mediocrity containing only a few islands of excellence. There are a number of concerns before the higher education sector which is beautifully summarized as “Higher education in India suffers from several systemic deficiencies. As a result, it continues to provide graduates that are unemployable despite emerging shortages of skilled manpower in an increasing number of sectors. The standards of academic research are low and declining. Some of the problems of the Indian higher education, such as – the unwieldy affiliating system, inflexible academic structure, uneven capacity across various subjects, eroding autonomy of academic institutions, and the low level of public funding are well known. Many other concerns relating to the dysfunctional regulatory environment, the accreditation system that has low coverage and no consequences, absence of incentives for performing well, and the unjust public funding policies are not well recognised. Driven by populism and in the absence of good data, there is little informed public debate on higher education in India.”(Agarwal, 2006: iv)

There are a number of critical issues (Thorat, 2008) that need to be deliberated upon in the field of Higher Education. Chart-1.1 presents some of the most important issues:

Chart 1.1: Critical Issues before the Higher Education System in India



It is neither the objective nor within the purview of the present work to talk about different issues mentioned above, yet, one can say with certainty that none of these could be taken lightly. As we sit evaluating the magnitude of these problems and evolving strategy to handle these, we realize the crucial role of governance. ‘Governance involves structures and decision- making processes.’ ‘Management, on the other hand, refers to the implementation of a set of objectives pursued by a higher education institution on the basis of established rules. It answers the question ‘how are the rules applied’ and is concerned with the efficiency, effectiveness and quality of services provided for internal and external stockholders. Despite the distinction between governance (with its

emphasis on the process of setting policies and long term goals as well as the strategies for reaching these goals) and management (which is action-oriented), the links between the two cannot and should not be overlooked.’

The massification of higher education has changed the composition of the HE sector- while the number of government universities has increased significantly and different types of the institutions each with its own requirements, structure, strengths and challenges have emerged, the private sector has come to play a very distinct role. The way the issue of quality, equity and access, efficiency etc. are handled depends primarily on the governance system and related aspects. Fielden (2008: 2) rightly says “Higher education systems are also getting more complex due to the growth in the number of public and private institutions, so that the task of managing and monitoring the sector is becoming more specialized and demanding. As a result, the old model of total control from a central ministry of education (MOE) is proving unsustainable in the long term and is being replaced throughout the world by other models. These alter the mode of central involvement from one of detail to that of strategy and rely on more sophisticated forms of monitoring and performance review.”

The primary focus for governments all over the world where higher education is facing the challenges mentioned above is to develop an appropriate governance structure with ideal blend of autonomy (at different levels), decentralisation on one hand and accountability on the other (Prakash, 2011). Development of an appropriate governance structure is important so that higher education is able to meet its primary goal, the goals to develop a model that is able to inspire and enable individuals to develop their capabilities to the highest potential levels throughout life, so that they grow intellectually, are well equipped for work, can contribute effectively to society and achieve personal fulfilment, to increase knowledge and understanding for their own sake and to foster their application to the benefit of the economy and society; to serve the needs of an adaptable, sustainable, knowledge-based economy at local, regional and national levels and to play a major role in shaping a democratic, civilized, inclusive society.”(Dearing Report, 1997).

There is no ‘uniform model’ that can be used and adopted everywhere with impunity (Pandey, 2004). We need to see how different systems function and attempt to identify their best practices, something that can be emulated with some adaptation by others. It is precisely this that has encouraged the present study. Banaras Hindu University, the largest residential university of India with large number of institutes, faculties, departments, teachers, students and amenities has been chosen as a model. It is logical to assume that if we are able to decode the governance system and ‘best practices’ of this huge structure, understanding smaller Universities would be less demanding, besides the lessons learnt from the study could be used to suggest prescriptions for other universities as well.

Governance and Management of HEIs: Recommendations of Commissions, Committees

The government from time to time has constituted a number of Committees and Commissions in order to study the existing governance and management structure and suggest to it the changes that need to be brought in order to make them more effective and efficient. The summary of the

recommendation on governance and re- organization of higher education by major Commissions and Committees on Education are as given below:

Education Commission, Kothari Commission (1964 -66)

“Teaching, research and service to community, university’s core functions, need autonomy from regimentation of ideas or pressure from party politics. Vice –Chancellor, necessarily a distinguished educationist or eminent scholar of any discipline or profession, should embody the spirit of academic freedom and principles of good management in university. His /her appointment should be left to the university, with Chancellor appointing from the panel of three persons. Adequate powers should be vested with VC for effective working of the university. Important authorities of university include the Court – policy- making body; Executive Council – a small body of 10 – 15 members; and Academic Council – the sole authority to decide courses of study and standards.

Committee on Governance of Universities and Colleges, 1972 (Gajendragadkar Committee)

Universities and colleges should devise mechanism and machinery to redress grievances of its different constituents; adopt the principle of rotation rather than election to different management bodies. UGC as custodian of university autonomy should be consulted when States enact or amend any laws on universities. Respect autonomy and supremacy of Academic Councils and Boards of Studies in academic matters.

NPE, 1986 and POA, 1986

Establishment of State Council for Higher Education, a state level body for planning and coordination of Higher education, to protect it from degradation (a euphemism for socio-political pressures and interferences).

Gnanam Committee, 1990

Central Government should legislate that UGC’s regulations be binding on all universities. No new university by States without UGC’s concurrence and without reference to special needs for new university be formed.

CABE Committee on Autonomy, 2005

Academic matters: Universities provide broad framework and leave freedom to individual HEIs to design courses and teachers to try out pedagogical innovations. UGC and AICTE should guide curriculum revision ensuring frontier areas in curriculum. All university quickly shift towards adoption of choice- based credit courses and semester system. All universities establish linkages with open and distance learning universities to enhance enrolment. Disband teacher appointment on contract and allow institutions to fill up vacancies expeditiously. Allow university to offer courses as per emerging realities of the region.

Administration matters: Review University Acts, Statutes periodically for better management and for granting autonomy to affiliated colleges. Let institutional heads decide number and rank of

faculty positions. University and college authorities and bodies should have a mix of elected and nominated persons. VC's selection should be only by search-cum-selection process. Training and development of academic administrator of HELs is needed to improve quality of governance.

Financial matters: One third investment of education should be for Higher Education.

Bring all government universities and government –aided colleges under UGC-funding pattern and increase allocation to UGC. Full public funding of HEIs no longer possible and encourage and incentivize alternative fund generation. Set a ceiling on fee levels and ensure HEIs do not indulge in malpractices in fees. Give HEIs autonomy to take up consultancy and sponsored research projects.

General: Make UGC more effective for maintenance of standards. HEIs need to be given full autonomy for academic and research collaboration with their counterparts, industry and professional organizations in India and abroad. Need to encourage private participation in Higher Education with adequate social control. Professional ethics and norms of accountability from teachers are required.” (Mathew 2016: 61-62)

The Draft Report of the Committee for the Evolution of the New Education Policy headed by T S R Subramanian, June 2016: It has raised serious concern about the quality of education at all levels; higher education system is in crisis. There is urgent need to focus on improving quality of teacher training and education. Some of the recommendations on Higher Education are:

- Depoliticize process of selecting Vice Chancellors.
- Use rigorous accreditation process to weed out substandard higher education institutions.
- Self-imposed restrictions on political activity on campus. De-recognize student groups based on caste and religion.
- Facilitate creation of 100 centers of excellence in higher education.
- Establish a National Fellowship Fund for 10 lakh students in higher education.

On Governance, the recommendations are:

- Allocation of 6% of GDP to education.
- Enact a new National Higher Education Promotion and Management Act to establish norms for evaluating norms for evaluating higher education institutions.
- Establishing a Standing Education Commission as a think tank for MHRD.
- Create an all India Indian Education Service that will oversee education policy in the Centre and the States.

Review of Literature, Literature Gap & Rationale of the Study

Review of Literature

Literature is little unclear about what constitutes good governance and further what are the essential components of governance of higher education. Kaufmann, Kraay, and Mastruzzi (2004; 2007) define governance as the “traditions and institutions by which authority in a country is

exercised for the common good”, which includes the process of selecting those in authority, capacity of the government to manage, and respect for the state. Lewis & Petterson (2009) claims that good governance in education systems promotes effective delivery of education services. Critical are appropriate standards, incentives, information, and accountability, which induce high performance from public providers.

Watson (2004) argues that educational governance refers to authority and decision making within the system. Governance includes: how the education system is organized and power is allocated; what structures and decision-making processes are in place; formal roles and responsibilities; and the relationship between central and local authorities. As stated in the report of the Royal Commission on Learning (1994), “The aim is to have an organizational design that furthers educational objectives, makes effective use of resources, redresses inequities, and gives all stakeholders a voice in important decisions about education.” In other words, the governance framework should be characterized by fiscal responsibility and accountability and should support the goal of improved student learning.

The governance of higher education in the changing international scenario is gradually evolving OECD (2003). With the expansion of private sector and with increasing evidence that complete control of the government is neither possible nor desirable, the autonomy issue and arriving at ideal blend of autonomy and accountability has become very crucial. There are new issues of governance that have emerged. The document lists five such issues as:

- How much freedom institutions have to run their own affairs- the autonomy question
- The extent to which they rely on government funding or can draw on other sources- the issue of financing higher education and procedural autonomy
- The changing ways in which the higher education system itself is subject to quality assurance and control- Quality Assurance
- The strengthening of the governance of the institutions- Internal Management
- New roles for their leaders – Leadership Question

The volume brought out by International Institute of Educational Planning edited by Varghese and Martin (2014) is a wonderful collection of governance reforms initiatives taken in different Asian countries dealing primarily with the aspect of autonomy. It claims that the primary purpose of reforms in HE as warranted by phenomenal growth of the sector and increasing complexities is “increasing importance and use of knowledge in production, and the role of higher education institutions (HEIs) in training for the production, transmission, and use of knowledge” (p.20) Thus governance reforms aim at gearing up HE in the fashion that helps in national capacity to produce knowledge, so as to improve economic and market competitiveness. Reforms, no matter which continent it has taken place has been aimed at adjusting the system to the shift from state regulated HE to market oriented HE a shift that has forced us to explore the ‘State Supervision Model’ in place of ‘State Control Model’.

The debate on governance has focused on the question of autonomy- substantive (relating to administrative and academic affairs) and procedural (related primarily to finance). Eurydice (2008) argues that governance focuses on the rules and mechanisms by which various stakeholders influence decisions, how they are held accountable, and to whom. In the context of higher education, governance refers to ‘the formal and informal exercise of authority under laws, policies and rules that articulate the rights and responsibilities of various actors, including the rules by which they interact’. In other words, governance encompasses the framework in which an institution pursues its goals, objectives and policies in a coherent and co-ordinated manner’ to answer the questions: ‘Who is in charge, and what are the sources of legitimacy for executive decision-making by different actors?’

The crucial issue of debate is determining the pace and form of transition from a centralised (State governed) to a decentralised (State regulated and relatively autonomous) system of governance. The issue is not going to be simple. Researches claim that there are a number of difficult issues-

- First, granting autonomy is not a one-way process or a formulaic set of policies to achieve successful higher education management. It is not only about asking what freedoms HEIs are going to obtain from the government but also about what freedoms the government is willing to give. The latter certainly entails the government provision to adopt legal reforms, restructuring of public funding mechanisms, and personnel regulations. The expectation of HEIs to exercise their own power and judgment and the willingness of the government to relinquish control can be a source of tension, especially when both parties define the term “autonomy” in different ways (ADB, 2012). These tensions need to be effectively handled.
- Second, there is the issue of phasing external and internal autonomy depending on the needs and level of development of HEIs (Fielden, 2008).
- Third, there is the challenge of establishing balance between autonomy and accountability (Berdahl, 2010).
- Fourth, there is need to understand the governance models adopted in different nations, the best practices followed there and failures in order to develop an appropriate model of governance (AGB, 2009).

The debate is long and the research output is voluminous, creating more questions than answering them. In this phase of transition, more studies that are empirical in nature and are based on the functioning of the alternate governance systems that can prove to be more effective. It is towards this end that academia has diverted its attention now.

Literature Gap

Governance and Management of Higher Education, as the review of literature attempted above reveals, has been a hotly debated issue. A cursory look at the review is however sufficient to convince us that there exists some glaring gaps in the literature-

1. There exists substantial difference between the way Universities are being governed in different states with each state having its own system, strengths and drawbacks. A comprehensive study comparing the governance of Universities located in different states is somewhat lacking.
2. Most studies related to governance, analyze governance from the point of view of certain **pre-conceived notion of 'best practices'** denying any flexibility due to a region's peculiarities, traditions, historical antecedents and compulsions. We lack studies that attempt to identify the best practices followed by individual institutions that suit its specific structure and background.
3. There is dearth of studies that attempt to explain the system of governance and management analyzing the issue from the point of view of all stakeholders i.e. the government and the higher education management structure it has created, Vice-Chancellor and top management of the University, teachers, staff and students. A comprehensive picture is therefore missing
4. Though much has been written about how Asia's largest residential university the Banaras Hindu University was founded and about the stalwarts who shaped the destiny of this great university, no comprehensive work exists as regards how this huge university that in addition to having large number of teaching departments also has the largest hospital in Northern India, a Trauma Centre that is three times the size of Trauma Centre of AIIMS Delhi and a campus services network that can dwarf most municipal corporations in India; is actually managed and governed.

Rationale of the Study

The study assumes importance as higher education is now the prime focus of a developing economy like India. The rationale of the work can be summarized as below-

- India with its bulging proportion of working population is emerging as the world's largest supplier of manpower and is said to have immense potential for reaping the demographic dividend. Much of this would not be possible if we are not able to develop a system of governance of higher educational institution that can foster and sustain a higher education system that can develop the manpower and raise its productivity.
- The nation is facing excessive demand for quality higher education. With the government facing a serious resource crunch, deregulation, decentralisation and privatisation are being resorted to. A detailed study on governance and management can help the nation develop some kind of 'guideline best practices' that can be applicable to most universities and also suggest specific tailor-made practices to institutions facing special situation.
- Autonomy and Accountability in higher education has been hotly debated. It is very critical to understand the extent to which the government needs to give autonomy, decide the phases in which it has to be given, the benefit and cost expected and also determine how it has to be balanced with accountability. The present research by evaluating the individual experiences of the Universities can help in deciding the time path and time line.

- Participatory management has been practiced in different fields with fair degree of success. In higher education, participatory management or autonomy within the system has met with limited success. It is important to evaluate how participatory management is being put to use and identify the factors that work in favour or against it. The present study can throw light on this.

Research Objectives

The primarily aim of the present work is to critically evaluate the problem of governance and management of higher education in India in order to come up with the idea of good governance that is very specific to our perception and suitable to our conditions. It aims at critically examining the way a huge centrally funded university like Banaras Hindu University functions with its own ethos, traditions, institutional structures and the way it is managed in order to identify its best practices, constraints, obscurity and riddles so that the same can be theorized and emulated by others. The research objectives of the work are as follows:

1. To discuss the evolution of the governance structure and processes at the national, state and institutional level
2. To study important actors and their roles at the state level and study how the Ministry of Education, Directorate of Higher Education, State Councils of Higher Education and Higher Education Institutions interact.
3. To study the role and functioning of governing bodies at universities and colleges.
4. To study the management of higher education at the institutional level.
5. To identify the best practices of and deficiencies in governance of a centrally funded institution of higher education like Banaras Hindu University.

Research Questions

The work has formulated the following research questions the answer to which it successfully attempted to find-

1. How the governance and management of higher education functions at the national and state level?
2. How different actors in governance of higher education function and interact with the governing bodies at the institutional level so as to create a suitable management structure and guide the course of such institutions?
3. How has the governance and management of centrally funded Institutions of higher education evolved?
4. How are higher education institutions like Banaras Hindu University governed and managed?

Database and Methodology

Methodology and research design are the skeleton, the base on which the whole edifice of any research project stands. It is the guide map, which help the researcher to always move on the right path and achieve the goals he had set at the beginning of the journey in a scientific manner. It also serves as ‘tracks’ for those who want to follow him or know how he made the journey successful and fulfilling.

A mixed methodology, that is, use of both qualitative and quantitative research is being used in the present study. This has been done for two reasons- first the purpose of the study is not just to study the present position of governance (possible through quantitative methods) but also capture the perspective of different stakeholders on the same (something that necessitates qualitative methods). Second, in order to reach at a valid conclusion we need breadth (Quantitative) as well as sufficient depth (Qualitative). Mixed methodology can produce a study that is better to the one following either qualitative or quantitative method. It can provide a “fuller, deeper, more meaningful answers to a single research question.” It combines “quantitative and qualitative research strengths in a single study to cover a single purpose better or to cover multiple purposes well in a single study.” (Johnson & Christensen 2012: 433)

Sampling Procedure

The present work is based on primary data collected from different stakeholders i.e. the top management of the University, the teachers and students. Since Banaras Hindu University is huge in size consisting of 4 affiliated colleges, 5 institutes, 15 Faculties, 132 Departments, 1700plus faculty members and over 35thousand students, time and resource constraints did not allow the work to investigate and study all. In most Universities there is a difference between governance at the University and that at the College level that has significant bearing on their performance and impact on stakeholders. Thus, in order to have better insight on the governance issue, it was decided to choose one affiliated college of the University as well. The work therefore adopted multi stage sampling procedure to choose samples. In the first stage college & faculties were chosen and then one department from each of the faculties, then information was collected from Deans, teachers and students of the faculty. We briefly explain the sampling procedure and sample size:

Stage I Selection of Faculties & College

The first major task was to choose the Sample College and Faculties. The University has four affiliated colleges, out of which three are women’s college and one is co-ed. Since the number of girl students studying in colleges exceeds that of the boys, it was decided to choose a girls college as representative of affiliated college. Vasanta College for Women was purposely chosen as (i) It is the oldest college (even older than the University itself), (ii) teaches relatively more number of subjects, has its own hostels, and has certain other features which were expected to give better picture of things happening at the college level.

As far as faculties are concerned, altogether five faculties of the University have been chosen. These faculties are- Arts& Humanities, Science (which has now been raised to the level of Institute), Social Sciences, Medicine and Education. The basis for selection was that the faculty should have (a) maximum representation in terms of students and obviously Arts, Science and Social Sciences were chosen on this ground as these are the three most popular faculties anywhere (b) Variations in specific needs, complexities and managerial issues so that the sample has enough variability and on this ground Medical Sciences and Engineering were to be chosen. The Banaras Hindu University had Institute of Engineering earlier which has now been given an independent status and has become IIT. IIIT BHU has its own administration and is an autonomous body. Thus in place of Engineering, the study chose 'Faculty of Education'. There were precisely three reasons for this:

- The teachers and students of Faculty of Education are more conscious about the issue of governance and management (they study the parameters of evaluation as part of their curriculum). They were expected to give due importance to the survey and respond to the questions in the right spirit. The response rate was also expected to be high.
- The Faculty of Education has B.Ed. and M.Ed. level students drawn from all streams- science, arts, social sciences, commerce etc. Since bulk of the students has done their graduation from BHU itself, taking them as respondents was expected to give better insight into the problem.
- Department of Education exists also at the affiliated college, so the choice facilitated comparison.

Stage II Selection of Departments

Each of the chosen faculties has a number of departments and centres. Hence, in order to keep the representation to manageable limit, it was decided to choose one department from each of the faculties on random basis (i.e. after writing names of all the departments on chits of paper and then drawing lot). There were two problems-

- i. The chosen college did not have Medical Sciences. Since, Home Science also had practical and papers relating to anatomy, physiology etc. it was considered closest to medical sciences, hence from the college it was chosen.
- ii. The chosen college also did have science subjects like Physics, Chemistry, Botany, Zoology etc. Geography was the only subject in science stream that is taught at the college level, hence from Faculty of Science, Geography was chosen.

Thus, the following Faculties and Departments were selected for conducting the inquiry-

Table 1.2: Selections of Faculties & Departments

S. No	Faculties	Selected Department at the University	Selected Department at the Affiliated College, Vasanta College for Women
1	Arts	English	English
2	Social Sciences	Economics	Economics
3	Sciences	Geography	Geography
4	Medical Sciences	Medical	Home Science
5	Education	Education	Education

Stage-III Selection of Faculty Members and Students for Filling up of the Schedule

The project conducted primary survey using semi-structured questionnaire developed separately for teachers and students of the faculty /department chosen. The sample size and coverage for the two classes of respondents were as follows:

i. Teachers- Information from teachers was collected using two tools:

- Focus Group Discussion and
- Filling up of Schedule.

For the purpose of filling up of schedule, the goal was to cover as many teachers as possible who have completed minimum five years of service in the Department so that we are able to grasp their views on different aspects of governance and management. The condition of experience was emphasised as it was perceived that those who have joined recently may not know about the provisions of the University and procedures of promotion, leave, working of the system etc. However, for the focus group discussion all the available teachers were involved.

ii. Students- Like teachers, both the tools were used for the students. In order to have a balanced opinion of different stratum of students, we chose both UG and PG students from the Department selected in the first round. From the UG Class we chose the BA-III Year Students and from PG final year students following the logic that the longer the time anyone spends in the institution the better he/she knows about the system, its merits and demerits. Banaras Hindu University has very high intake of students and it was beyond the reach for the researchers to survey all the students of the chosen departments, hence, it was decided to take approximately 50% of the students from each class. It was decided to include students from all categories and both gender (wherever possible). Thus, the sample size chosen was as follows:

Table 1.3 Sample Sizes of Students

Faculty	Department	University				Vasanta College for Women			
		UG		PG		UG		PG	
		Total	Sample	Total	Sample	Total	Sample	Total	Sample
Arts	English	100	46	90	50	35	20	30	20
Social Sciences	Economics	120	65	90	45	35	20	30	20
Sciences	Geography	132	73	75	37	35	23	30	0
Medical Sciences	Medical*	60	45	30	11	35	20	30	0
Education	Education	119	60	70	34	35	20	30	17
Total			289		177		103		57

*For Vasanta College in place of Medical Sciences, Department of Home Science has been taken

Sampling Tools

The study on the one hand uses questionnaire as a tool of data collection and on the other hand, in order to get into the real complexities of governance and decode the group dynamics uses qualitative method. The table given below summarizes the respondents from who have been consulted/ interviewed and surveyed and tools used for the purpose

Table 1.4: Data Collection Tools Used

SN	Type of Respondents	Data Collection Method
1	Vice Chancellor, Registrar, Top University Administration, Deans of the Faculties, Heads of Departments, Governing body members of the College, College Principal etc.	Semi-structured Interview and Discussion
2	Faculty Members of Selected Departments of Chosen Faculties	<ul style="list-style-type: none"> ● Focus Group Discussion ● Schedule
3	UG & PG Students of Selected Departments of Chosen Faculties	<ul style="list-style-type: none"> ● Focus Group Discussion ● Schedule

Variables

The major problem of the study is definition & identification of key variables and their measurement. The question becomes all the more important as some of the variables under study would be qualitative in nature that calls for qualitative data analysis. There would be two kinds of variables involved in this case-

1. The state or effect variables i.e. variables that indicate the present status of governance of the institution.
2. The control or cause variables that explain the way the institutional governance evolves. It is the manipulation of these variables that in the ultimate run improves governance. These are the policy variables.

The impact of the cause variables on the effect variables would be estimated /studied. The main effect variables prima- facie identified and their measure is given in the following table (The list is only suggestive)-

Table 1.5: State & Control Variables Used in the Study

State Variables	Control Variables
1.The present governance structure of the institution,	1. Autonomy-Administrative, Academic, Financial -Internal as well as External
2.Role of different governing bodies e.g. the Executive Council, University Court, Vice Chancellor, Academic Council, Directors and Deans	2. Adoption of funding models
3.Satisfaction Level of Teachers & Students in terms of recruitment, promotion, teaching and other jobs of the University	3. Mechanism to Ensure Accountability
4.Ranking and Rating- Internal as well as External	4. Quality Assurance/Accreditation Mechanism in Place
5.Efficiency and Quality	5. Participatory Management Practices followed and mechanism in place to strike a balance between autonomy and accountability

Software & Statistical Tools Used- The work uses SPSS (16.0) software for data entry, tabulation and computation. Descriptive statistics has been used to draw forth important points. Qualitative data has been analysed using appropriate methods.

Structure of the Report

The report is structured in the following chapters

Chapter 1: Introduction

The first chapter of the report, the present one briefly formulates the research problem and provides a succinct treatment of extant literature on Governance and Management of Higher Education in India. It attempts to identify the gaps in literature and presents a rationale of the study. The chapter also mentions the objectives of the work, research questions and an overview of the methodology of the study.

Chapter 2: Higher Education Development in the State

The second chapter of the report, based on facts and figures of status of higher education in Uttar Pradesh, encapsulates a broader picture of evolution of higher education in the state. It talks about the institutional infrastructure created by the government for managing the affairs of higher education giving a brief preview of the structure of governance and management of higher education in the state, the role of Ministry of Higher Education, Directorate of Collegiate/Higher Education, State Higher Educational Council etc. in creating a vibrant set up. It delineates how the institutional regime influences and participation permeates to different aspects of higher education such as teacher recruitment, day to day management of educational institutions, the academic and administrative autonomy etc. Since Banaras Hindu University is a Central University, the chapter also briefly explains the role and participation of MHRD in strategic planning, resource allocation and governance of the University.

Chapter 3: Profile of the Case Study Institutions

The third chapter aims at introducing Banaras Hindu University and its affiliated college Vasanta College for Women which have been taken as a case study for understanding the governance and management of higher education in U.P. It provides a brief history of the institution, its vision and mission and gives a summary picture of the governance structure of the University talking about executive council, academic council, the vice chancellor and other decision making bodies, their respective roles and how they interact and share the responsibility of managing the largest residential university of Asia. The chapter also provides summary information about the University, its institutes, faculties, departments, courses, composition of teaching staff and students and how the University functions and coordinates the activities of over 50000 people who are involved in its functioning either as providers or beneficiaries. The chapter also provides information regarding brief history of the college, courses and programmes offered, the details of the enrolment of students and sanctioned strength of teachers and non-teaching staff, the admission process, the curriculum and recruitment process being followed..

Chapter 4: Institutional Autonomy and Decision Making

The fourth chapter draws from the primary survey and focus interviews conducted relating to the project. It addresses three critical issues- first; it talks about governance and autonomy enjoyed by different functionaries in different respect i.e. administrative, financial, academic etc. Second, it talks about the way crucial decisions pertaining to staff recruitment and promotion, student admission, curricula designing etc. are taken in the University and how different stakeholders are involved in the process and third, it attempts to find the leadership style and the factors that play a role in deciding the same and also structure of shared governance in the institution. Quite obviously attempt has been made to gauge the extent to which what is propagated and publicised by the University is actually operationalized and is in vogue.

Chapter 5: Governance and Management Processes

The fifth chapter of the report provides a detailed analysis of the governance and management processes in the University. Based on the primary survey of faculty and staff of chosen faculties and departments, the chapter specifically talks about key decision and policy issues. It talks about the way the University administration strikes a balance between autonomy and accountability of different functionaries, promotes participation of stakeholders in decision making, handles often contrasting and squabbled interests of the University, staff and students, communicates and handles information asymmetry that often causes problems in human understanding and handles and settles grievances.

Chapter 6: Good Governance: Lessons Learnt

The penultimate chapter of the report seeks to identify the lessons of good governance that the Banaras Hindu University can provide. It primarily attempts to do two things- first, it identifies the best practices being followed in the University and attempts to theorise them in form of a model of governance. The idea is to learn positive things from the working of the University and then

develop that in form of a theoretical prescription that can be suggested/ administered elsewhere similar environment and situation prevails. Second, It highlights the grey areas i.e. areas where the existing system of governance in the institution is unable to provide the desired result. The primary purpose of the whole exercise is to identify the 'good and the bad' of the institution, so that the good can be propagated and the bad rectified and corrected.

Chapter 7: Summary & Conclusion

The final chapter sums up the work. It delineates the main findings based on the primary data collected from and interaction and experiences of the staff, students and top management. It provides policy messages and road map for governance and management in higher education.

Chapter 2

Higher Education Development in the State of Uttar Pradesh

Introduction

Higher education offers a unique blend of two resources essential for economic and social development: knowledge and status. Three aspects of higher education are of relatively recent origin. First, social, economic and industrial development has created a pressure towards greater specialization. Secondly, as societies grew more complex, more selective and efficient means of cultural transmission evolved resulting in formal, institutionalized system of education. Thirdly, creation of knowledge is a tangible output of the educational system. Hence, research has emerged as one of the most significant dimensions of higher education today. Teaching, Research and Extension are the three main functions of higher education institutions (HEIs).

India has had a long tradition of institutions of higher learning exemplified by the ancient universities of Nalanda, Vikramshila, Odantapuri, Vallabhi, Sompuri, etc and centers of learning like Varanasi, Pataliputra and Takshashila (now in Pakistan). However, the modern system of higher education in India began with the Indian Universities Act of 1857 leading to the establishment of three universities, in three Presidency towns of Bombay, Calcutta and Madras. This led to the foundation of the present- day university education in India. The development of university education prior to 1947 was very, very slow. By 1947-48, there were only 20 universities. (Tilak 2013: 1). The University Education Commission (Radhakrishnan Commission) in 1948 was set up ‘to report on Indian university education and suggest improvements and extensions that may be desirable to suit present and future requirements of the country’ (Tilak 2013: 2). This Commission enunciated the goals and objectives of higher education in independent India. It suggested the restructuring that was needed in university education; it recommended the setting up of UGC. It also made recommendations on the governance and management of universities.

In subsequent years, several commissions and committees such as the Education Commission (Kothari, 1964-66), the National Commission on Teachers II- Higher Education (1983), the UGC Commission on Mobilization of Resources in Central Universities (1993), the AICTE Commission on Technical Education (1994), National Knowledge Commission (2005) etc were appointed by the government for educational restructuring, and changes in the system of higher education in India. The first National Policy on Education (1968), the second National Policy on Education (1986 and modified in 1992), the Programme of Action (PoA, 1992), the World Conference on Education for All (Jomtien, Thailand, 1990), World Bank Paper on Higher Education (1994), and the General Agreement on Trade and Services (GATS, 1995) including education services under it came later- all these had an impact on the higher education in India. (Tilak 2013: 2)

In spite of the recommendations and suggestions of the various Commissions and Committees, higher education in India suffers from a number of deficiencies. A variety of complex forces have affected the development of higher education in independent India. However, higher education in

India has expanded tremendously during the post-independence period. The expansion of the system normally refers to one, or a combination, of the following:

- increase in the number of institutions (largest in the world in terms of number of HEIs),
- growth in student enrolment (second only to China in terms of enrolment),
- increase in the number of teaching and non-teaching staff,
- diversified structure in terms of course, institutional structures and management styles, and
- increase in expenditure on the operation and development of the system.

At present, higher education in India is a gigantic enterprise, employing a large number of personnel, incurring an annual expenditure of millions of rupees and teaching a large body of students. There are 799 Universities, 39071 colleges and 11923 stand-alone institutions and about 34.6 million students studying in these institutions as per AISHE Report 2015-2016. Total enrolment in higher education has been estimated to be 34.6 million with 18.6 million boys and 16 million girls. Girls constitute 46.2% of the total enrolment. Gross Enrolment Ratio (GER) in Higher education in India is 24.5%, which is calculated for 18-23 years of age group. GER for male population is 25.4% and for females, it is 23.5%. For Scheduled Castes, it is 19.9% and for Scheduled Tribes, it is 14.2% as compared to the national GER of 24.5%. Uttar Pradesh comes at number one with the highest student enrolment followed by Maharashtra and Tamil Nadu. The top 8 States in terms of highest number of colleges in India are Uttar Pradesh, Maharashtra, Karnataka, Rajasthan, Andhra Pradesh, Telangana, Tamil Nadu and Madhya Pradesh.

The Indian higher education system though vast in absolute terms caters to only about 24 percent of the population in the age group of 18-23 years. This is nearly 6 percent in low-income countries. In comparison, the middle income countries have enrolment of about 21 percent and developed countries over 50 percent in higher education (World Bank 1994).

The quality and standards of Indian higher education institutions need to be systematically sustained at a high level through rigorous screening, innovation and research, recognition of excellence and creativity. Higher education and research institutions in India have upgraded and evolved in divergent specialized streams, with each stream being monitored by an apex body. The UGC has an omnibus mandate, covering all aspects relating to recognition, accreditation, curriculum approval, permission to start courses, disbursement of grants to institutions, and management of scholarship programmes. The National Board of Accreditation (NBA) and the All India Council of Technical Education (AICTE) are autonomous bodies, which recognize and accredit programmes offered by professional and technical institutions in the disciplines of engineering and technology, management, architecture, pharmacy and hospitality. In addition, there are a number of other professional councils established by statute as well as autonomous coordinating or regulatory bodies, many of which are authorized to perform the functions of recognition and accreditation of institutions and courses of study under their jurisdiction. These include the Quality Council of India (QCI), the Indian Council of Agricultural Research (ICAR), the Bar Council of India (BCI), the Medical, Pharmacy and Dental Councils of India (MCI, PCI and DCI), the Nursing Council of India (NCI) the Central Councils of Homoeopathy and Indian

Medicine (CCH and CCIM), the Institute of Management and Engineering (IME), the Association of Indian Universities (AIU), the National Councils for Teacher Education (NCTE), the Rehabilitation Council of India (RCI), among other regulatory bodies. NAAC, an autonomous institution under UGC was established in 1994 at Bengaluru for assessment and accreditation of the higher education institutions. “The mandate of NAAC as reflected in its vision statement is in making Quality Assurance (QA) an integral part of the functioning of Higher Education Institutions (HEIs).” (NAAC Manual for Affiliated / Constituent Colleges 2017: 5)

Evolution of Higher Education System in Uttar Pradesh

The evolution of formal higher education system in India was in the form of various colleges and schools in different parts of the state. These institutions were controlled and regulated by Christian missionaries, charities, and reputed individuals. Several colleges came into existence such as Hindu College, Kolkata (1817), Agra College (1827), Poona College (1833), Patna College (1840), etc. In 1857 the British government established three universities (Bombay, Madras & Calcutta) across the country. A number of universities were established in 1920-22 under the influence of Mahatma Gandhi during the Non-Cooperation Movement and in U.P., Kashi Vidyapeeth was established in Varanasi in 1921 (renamed as Mahatma Gandhi Kashi Vidyapeeth in 1995). Central Muir College of Allahabad was enacted as the fourth university of India as University of Allahabad, commonly known as Allahabad University on 23rd September, 1887. Allahabad University was once called the "Oxford of the East". The Aligarh Muslim University was originally established as Mohammedan Anglo-Oriental College (1875) which became AMU in 1920. Thus, Agra College and University of Allahabad were respectively the first college and university to be established in the United Province (Uttar Pradesh was called so during the British period). Banaras Hindu University (BHU) was established by an Act of Parliament in 1916 through the efforts of Pandit Madan Mohan Malaviya with active support of Annie Besant. Later on University of Lucknow was established in 1921 as a residential university comprising three constituent colleges namely Canning College, King George Medical College (presently King George Medical University) and Isabella Thoburn College (established on July 12, 1886). Next to be established was Dr. B. R. Ambedkar University (originally known as Agra University) in 1927. No university was established in 1930s and 40s. DDU Gorakhpur University was established in 1957. In 1960s Chaudhary Charan Singh University, Meerut and Chhatrapati Shahuji Maharaj University (formerly Kanpur University) were established. The state government took up special interest in promoting higher education in 1970s and as a result Chandra Shekhar Azad University of Agriculture and Technology at Kanpur and Narendra Dev University of Agriculture and Technology at Faizabad were established in 1974. They were soon followed by a number of universities like M.J.P. Rohilkhand University, Dr. Ram Manohar Lohia Avadh University, Faizabad, Bundelkhand University, Jhansi were established in 1975. Veer Bahadur Singh Purvanchal University, Jaunpur(1987), Uttar Pradesh RajarshiTandon Open University, Allahabad (1999), Dr. A.P.J. Abdul Kalam Technical University, Lucknow (2001), Pandit Deendayal Upadhyay Pashuchikitsa Vigyan Vishwavidalaya, Anusandhan Sansthan, Mathura (2001), Gautam Buddha University, Greater Noida (2002), King George’s Medical University, Lucknow

(2004), Dr. Ram Manohar Lohia National Law University, Lucknow (2005), DSM National Rehabilitation University Lucknow, (2008), Banda University of Agriculture & Technology, Banda (2010), Khwaja Moinuddin Chishti Urdu, Arbi Farsi University, Lucknow (2010), MMM University of Technology, Gorakhpur (2013), Siddharth University, Siddharth Nagar (2015). Beside the four Central Universities in Uttar Pradesh (Allahabad University, BHU, AMU and Baba Saheb Bhim Rao Ambedkar University, Lucknow), there are two specialized Central Universities in U. P. directly funded by Government of India. They are Rani Lakshmi Bai Central Agricultural University, Jhansi (estd. 2014) and Rajiv Gandhi National Aviation University, Fursatganj, Rae Bareli (established August 18, 2017).

Due to the efforts of the Government of Uttar Pradesh, the number of universities and institutions of higher education in the state has reached a respectable level. The table given below shows the relative positions of the state vis-à-vis other major states of India-

Table 2.1: Higher Education Institutions in Some Major States of India

State	Central University	Central Open University	Institute of National Importance	Others	State Public University	Institute under State Legislature Act	State Open University	State Private University	State Private Open University	Deemed University-Government	Deemed University-Government Aided	Deemed University-Private	Grand Total
Andhra Pradesh	-	-	1	1	20	1	-	-	-	1	-	4	28
Bihar	2	-	3	-	14	1	1	-	-	1	-	-	22
Gujarat	1	-	2	1	28	-	1	22	-	-	1	1	57
Karnataka	1	-	1	1	25	-	1	8	-	4	-	11	52
Madhya Pradesh	2	-	7	-	18	-	1	14	-	1	-	-	43
Maharashtra	1	-	3	-	19	-	1	-	-	7	2	12	45
Punjab	1	-	4	-	9	-	-	10	-	1	-	1	26
Rajasthan	1	-	3	1	22	-	1	34	-	-	-	8	70
Tamil Nadu	2	-	6	1	20	-	1	-	-	-	2	26	58
Uttar Pradesh	4	-	5	1	23	1	1	23	-	2	3	4	67
West Bengal	1	-	5	1	23	-	1	2	-	-	-	1	34
All India	43	1	75	13	329	5	13	197	1	32	11	79	799

Source-All India Survey of Higher Education, 2015-16, Table1, T-1

Table 2.2: Details of Colleges in Uttar Pradesh & Some Major States of India

Sl.	STATES/UTs	No. of Colleges	College per lakh population	Average Enrolment per College
1	Andhra Pradesh	2532	45	494
2	Bihar	744	7	2142
3	Delhi	191	9	1527
4	Karnataka	3555	50	438
5	Kerala	1302	43	521
6	Madhya Pradesh	2260	26	589
7	Maharashtra	4569	34	628
8	Punjab	1050	32	633
9	Rajasthan	3050	35	551
10	Tamil Nadu	2368	32	895
11	Uttar Pradesh	6491	26	920
12	West Bengal	1082	10	1427
All India		39071	28	721

Source-All India Survey of Higher Education, 2015-16, Table 4, T-5

The state of Uttar Pradesh has about 6491 colleges spread across different districts. The college per lakh population is 26 which is comparable with all India figures of 28 (AISHE 2015-16: Table 4). U.P. is a large state and the size of higher education is huge. “The task of managing the number of students in colleges and universities is becoming unwieldy. There was a time when there were unitary and affiliating universities in the state but now every university has turned into an affiliating university.” (Muzammil 2015: 83) The state has a large number of private colleges that are affiliated to different state universities. Kanpur University has about a thousand colleges, Agra University has about 700 colleges, Sampurnanand Sanskrit University, Varanasi has about 550 colleges, VBS Poorvanchal University, Jaunpur is having 400 colleges and Mahatma Gandhi KashiVidyapeeth, Varanasi has about 300 colleges. The level and quality of teaching in these colleges are however major cause of concern as most of these colleges have been established by bigwigs and are used by them for minting money. The lack in basic infrastructure, lack of qualified teachers (as there is no regular and systematic system of payment of salary to teachers in most colleges) and staff are some of the major issues affecting the quality of higher education and students go there only for admission and writing final exams. The affiliated colleges need to be inspected at periodic intervals by the affiliating universities but this is hardly done in case of state universities. In case of BHU, the BHU Act makes provision of annual inspection of the four colleges but the inspection team visits only when new courses are to be introduced in the colleges. The admission and examination in colleges of BHU takes place in the university itself; thus the University is able to monitor the whole process.

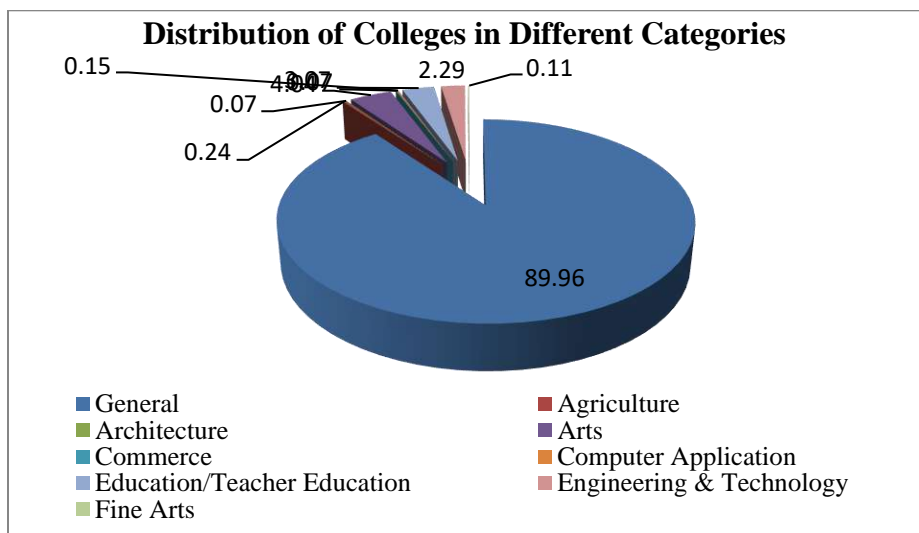
Higher Education (Technical)

Considering the size of Uttar Pradesh, it is not surprising that it has a large number of academic and research institutes. There is a vast range of Government colleges and private institutions providing technical education. Uttar Pradesh Board of Technical Education is the body responsible for pre-degree vocational and technical education at diploma level/ polytechnic level. Dr. A P J

Abdul Kalam Technical University formerly Uttar Pradesh Technical University is a public collegiate university in Lucknow catering to graduation and post-graduation technical education mainly through affiliation. Banaras Hindu University (BHU), Varanasi (1916), a Central University, envisages towards development of technical education too. The Indian Institute of Technology Kanpur, (1959) spearheads the undergraduate, postgraduate and research in engineering and related science and technology.

The Indian Institute of Management, Lucknow (1984) is among the premier management schools in the country focusing on executive programs. Motilal Nehru National Institute of Technology, Allahabad (MNNIT) was the first college in India to grant a Bachelor of Technology degree in Computer Science and Engineering, and is among the very few colleges in India to have a PARAM supercomputer. The GBTU-Gautam Buddha Technical University (2000), Lucknow established by Uttar Pradesh government focuses on research and offers integrated dual degree courses. The Indian Institute of Information Technology, IIIT, Allahabad (1999) provides technical education, research and training in such programs as engineering, technology, architecture, town planning, pharmacy and applied arts and crafts which the central government decrees in consultation with All India Council for Technical Education (AICTE). There are five government engineering colleges of GBTU. Babasaheb Bhimrao Ambedkar University, M.J.P. Rohilkhand University, Govind Ballabh Pant Social Science Institute, Allahabad (1980) and the Mahatma Gandhi Kashi Vidypeeth offer a range of professional and academic courses. The chart given below shows the distribution of colleges in different categories-

Chart 2.1: Distribution of Colleges in Different Categories (% of Total)



General	89.96	Computer	0.15	Architecture	0.07	Engineering	2.29	Commerce	0.07
Agriculture	0.24	Education	3.07	Arts	4.04	Fine Arts	0.11		

Gross Enrolment Ratio (GER)

UNESCO defines Gross Enrolment Ratio as the total enrolment within a country “in a specific level of education, regardless of age, expressed as a percentage of the population in the official age group corresponding to this level of education”. In Uttar Pradesh, gross enrolment ratio of male (24.2) in higher education (18-23 years) is marginally lower than that of the female (24.9) as per AISHE, 2015-16. It is really heartening to note that during 2015-16, the gender gap in enrolment ratio has gone up in favour of the female. It was about 2.6 in 2011-12 in favour of male but has now come up in favour of female by 0.7. Enrolment ratio of male in S.C. category is 20.3 while enrolment ratio of female is 20.7 in the session 2015-16. In S.T category, male and female’s enrolment ratio are 33.5 and 27.7 respectively and for both it is 30.6. The gross enrolment ratio of ST category in UP is not only very high but it has gone up at a fast pace. The figure should however not confuse us as the proportion of tribal population in UP is very small and even a small increase in absolute terms is reflected as a significant change in percentage term.

Table 2.3: Gross Enrolment Ratio in Higher Education (18-23 Years) in Uttar Pradesh

SN	Year	All Categories			SC			ST		
		Male	Female	Total	Male	Female	Total	Male	Female	Total
1	2011-12	17.5	17.2	17.4	12.6	13.2	12.9	23.6	17.2	20.5
2	2012-13	18.8	20.4	19.5	15.2	17.3	16.1	25.2	23.6	24.4
3	2013-14	20.4	23.0	21.6	16.8	19.6	18.1	27.7	24.9	26.4
4	2014-15	24.5	25.5	25.0	20.2	21.0	20.6	33.0	28.1	30.6
5	2015-16	24.2	24.9	24.5	20.3	20.7	20.5	33.5	27.7	30.6

Source: AISHE Report 2015-16, Table 47, T-170

National and State Policies and Programs on Higher Education

The development of higher education in India has been affected by the various policy pronouncements and the consequent programmes. In India, formulation of national policies on education is a post-independence development. Prior to independence, there was no formulation of national policies on education, but there were documents, which reflected the intentions of the governments regarding the system of education. Since Independence, to ensure better inputs to the system, committees and commissions have been constituted from time to time, to review and provide direction to the education sector at all levels. The first National Policy on Education adopted in 1968 laid stress on the need for a radical reconstruction of the education system, improvement of quality at all stages, inculcation of scientific temper, cultivation of moral values and focus on bringing education and life closer. University Education Commission followed by Kothari Commission made a number of significant recommendations on higher education. Role of research was emphasized. It recommended Indian language as the medium of instruction. A reform in secondary education and vocational course at college level was also recommended.

The Education Commission (1964-66) popularly known as Kothari Commission formulated the general principles and guidelines for the development of education from primary level to the highest and advised the government on a standardized national pattern of education (10+2+3) in

India. It also stressed the importance of education in national development. **National Policy on Education, 1968** focused on the improvement of standards of training and research at this level. Centre of Advance Studies should be strengthened and support to research should be enhanced in universities. **National Commission on Teachers, 1984** recommended measures to enhance the role of teachers in facilitating education and looked into the feasibility of evolving an acceptable and implementable code of conduct for teachers. **National Policy on Education (1986)** stressed on education for all. **Programme of Action, (1986)** gave guidelines on affiliation for new colleges. It also looked into the management pattern of universities, recruitment of university/college teachers, UGC approved scheme for Academic Staff Colleges (renamed as UGC-Human Resource Development Centre with effect from April 01, 2015) and Performance based appraisal for teachers was finalized. In the light of the experience of the implementation of **NPE (1986)** and **PoA (1986)**, the Programme of Action (**PoA**) **1992** proposed the establishment of State Council of Higher Education as statutory bodies in all states during the Eighth Five-Year Plan to ensure proper planning and coordination of the development of higher education. Every state government in partnership with UGC, was supposed to undertake a survey of the existing facilities for higher education in the State and its projected needs up to the year 2000. Colleges should be monitored quantitatively and qualitatively.

Rashtriya Uchchatar Shiksha Abhiyan (RUSA) was initiated by MHRD in 2013 for the development of higher education at state level. It aims at providing strategic funding to eligible state higher educational institutions to achieve the broad objectives of access, equity and excellence. The focus is on improving the overall quality of state institutions by ensuring conformity to prescribed norms and standards and adopts accreditation as a mandatory quality assurance framework. The quality of education is to be enhanced by improving lab infrastructure, creating smart classrooms, etc. The State Higher Education Departments and Institutions are required to undertake certain governance, academic and administrative reforms as a pre-requisite to be entitled for RUSA grants. There are 306 state universities and about 8500 colleges in the country that are covered under RUSA. The funding is based on performance. RUSA main focus is to provide greater autonomy to HEIs, equity based development and improvement in teaching-learning quality and research. The Centre-state funding is in the ratio of 90:10 for North East states, J&K, H.P. and Uttarakhand while for other states and UTs including Uttar Pradesh, it is 65:35. The implementation of RUSA in its right earnest began after May 2014. During the last three years the Central government has increased the expenditure on RUSA to around 2800 crores. The State Level Review Meeting to take stock of the fund utilization sanctioned under RUSA is undertaken. In Uttar Pradesh, the recent meeting was held in Varanasi on November 03, 2017 which was attended by Registrars of 14 state universities and several Principals of Government and Government-aided Colleges, Director and Deputy Director of RUSA, Director, Joint Secretary and Under Secretary, UP Higher Education, Joint Secretary, MHRD and some senior consultants. The fund utilization was not satisfactory as Sampurnanand Sanskrit University, Varanasi had utilized just 10% of the RUSA grant while Lucknow University, Bareilly University and Mahatma Gandhi Kashi Vidyapeeth, Varanasi had utilized around 50% of the grant and had not submitted the

Utilization Certificate. The stress was on continuous evaluation, on the spot inspection and quality work for expansion of infrastructure in the RUSA funded HEIs. It is worth noting that the allocated funds are not being fully utilized. The reasons lay in the bureaucratic hurdles as well as lack of strong will power and commitment from official stakeholders especially VC, Registrar and Finance Officers of concerned universities and in case of colleges; it is mainly the inefficiency of the Principal.

Uttar Pradesh Skill Development Policy 2013 is to integrate efforts of various departments of the State and Central Government organizations engaged in providing skill development training and make available employment oriented and placement linked training in vocational skills to 45 lakh youth in the age group of 14 to 35 years by 2016-17 ensuring equitable access to the most disadvantaged, including women; and strive for placement of preferably at least 70% of the trained youth in gainful wage and self-employment to enable them to contribute to the economic development of the State.

Structure of Governance and Management of Higher Education in Uttar Pradesh

The higher education system in India has grown in a remarkable way, particularly in the post-independence period, to become one of the largest systems of its kind in the world. However, the system has many issues of concern at present, like financing and management including access, equity and relevance, reorientation of programmes by laying emphasis on health consciousness, values and ethics and quality of higher education together with the assessment of institutions and their accreditation.

Governance encompasses the structure, relationship and process through which, at both national and institutional levels, policies for territory education are developed, implemented and reviewed. Governance comprises a complex web including the legislative framework, the characteristics of the institutions and how they relate to the whole system, how money is allocated to institutions and how they are accountable for the way it is spent, steer and influence behavior. (OECD, 2008: 68). Governance and management of higher education in states comes under the Department of Higher Education/ Directorate of Higher Education. The highest authority of higher education in states is the Minister of Higher Education in most of the states.

The Department of Higher Education, MHRD, is responsible for the overall development of the basic infrastructure of the higher education, both in terms of policy and planning. Under a planned development process, the department looks after access and quality improvement in the higher education, through world class universities, colleges, and other institutions.

It also expands access by supporting existing institutions, establishing new institutions, supporting state governments and non-government organizations/civil society to supplement public efforts aimed at removing regional or other imbalances that exist at present. The policy framework is carefully planned by Planning Commission (renamed as *Niti Ayogya*), Ministry of Human Resource Development and University Grants Commission at the national level but in states like U.P., it is framed by Department of Higher Education/ UP Higher Education Services Commission.

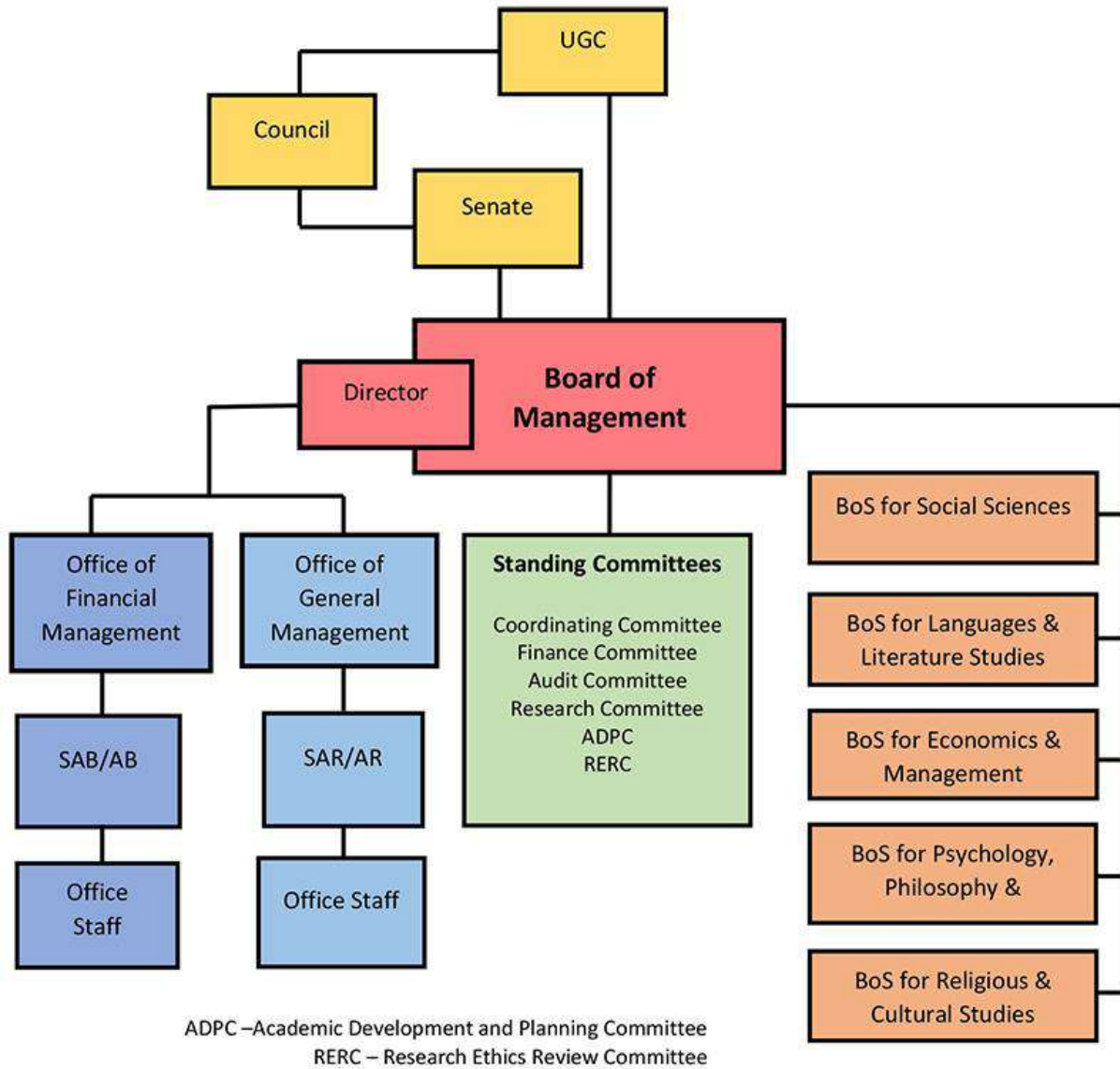
The Uttar Pradesh State Universities Act, 1973 (U.P. Act No. 10 of 1973) as amended from time to time provides the necessary guidelines for running of state universities. This Act defines Academic Council, Court and Executive Council of the University, affiliated college, associated college, autonomous college, constituent college and institute in Chapter I, Article 2(1), (2), (4), (5), (6), (12).

UP Higher Education Services Commission was established by the state legislature and assented to by the Governor on October 1, 1980. Its function is (i) to prepare guidelines on matters relating to the methods of recruitment of teachers in colleges; and (ii) to conduct examinations where considered necessary, hold interviews and make selection of candidates for being appointed as such teachers; etc. Central universities like BHU have almost no connection with the State government and its higher education department.

BHU has direct funding from UGC, MHRD, and Government of India. The President of India is the Visitor of the University and the recommendation of the Executive Council (EC) of the University is sent to the Visitor for ratification. The Central government norms are followed for recruitment, retirement, DA enhancement, LTC, Child Education allowances, Medical reimbursement, etc. Many of these facilities are not available in the state universities and colleges. The retirement age for teachers in BHU and its affiliated colleges is 65 while in U P it is still 62. The appointment of the BHU VC is done through a Search Committee which is set up by MHRD. MHRD also has the power to recommend Visitorial inquiry against Central University VC as seen in the case of Allahabad University and AMU, Aligarh in recent times.

The organization of higher education in Uttar Pradesh is as depicted in the chart below:

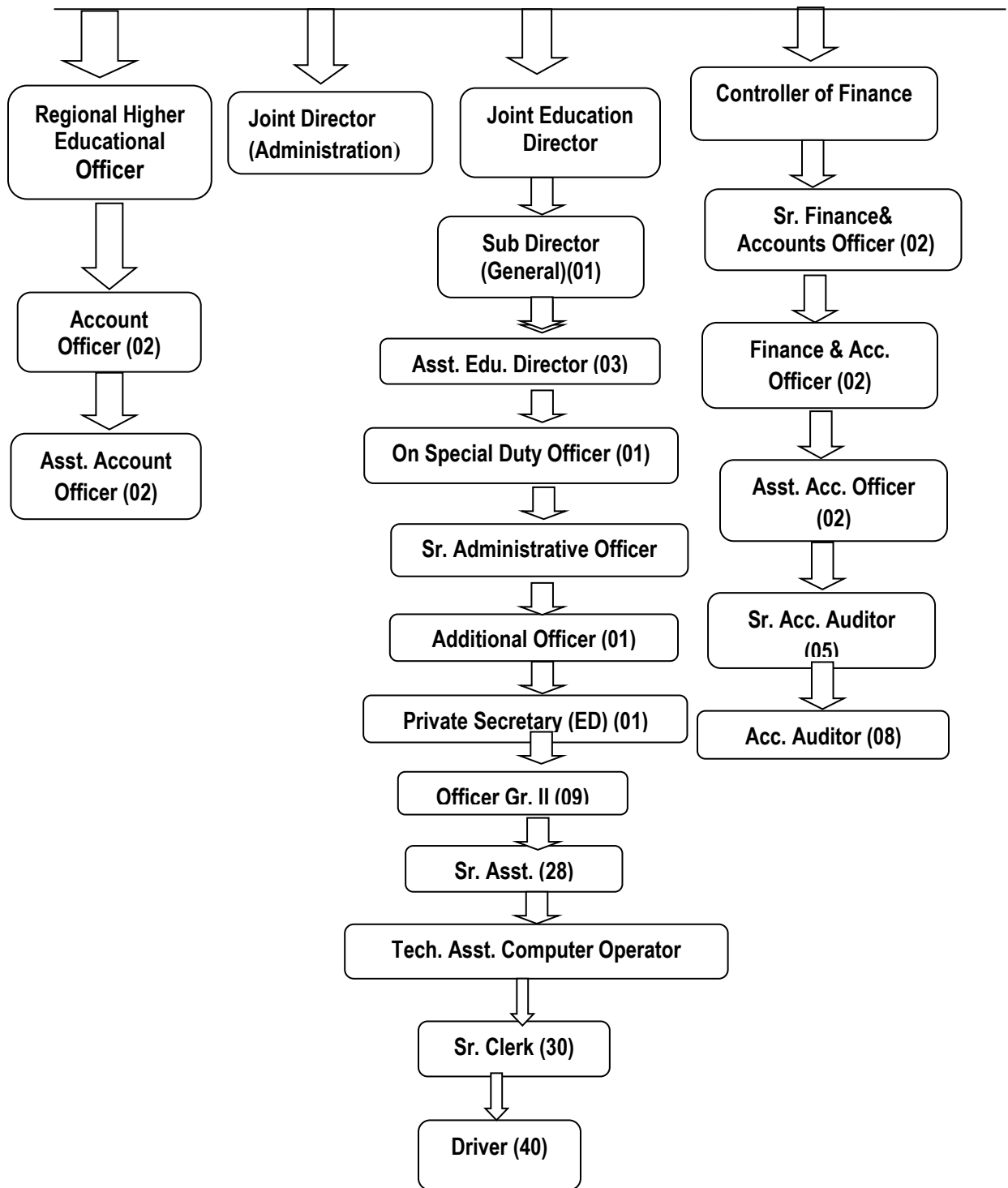
Chart 2.2: Structure of Higher Education Administration



Source: -www.ugc.ac.in

Chart 2.3: Structure of Higher Education Management in Uttar Pradesh

Director (Directorate of Higher Education)



State Assessment and Accreditation Council (SAAC)

The Centre allocates funds to higher educational institutions in the states through the newly-set up Rashtriya Uchchar Shiksha Abhiyan (RUSA). Setting up of assessment and accreditation agencies at the state level is one of the prerequisites for obtaining RUSA funding. The state-level institution (SAAC) will function on the lines of the National Assessment and Accreditation Council (NAAC). The setting up of the accreditation body at the state level is a unique attempt to create an institution that will 'not compete with but supplement and support' NAAC, the national body. Considering the size and number of our higher education institutions, there is a need to set up multiple accreditation bodies for assessing the quality. Kerala's plan to become the first state to set up a State assessment and accreditation council for higher educational institutions has hit a roadblock. Uttar Pradesh government has proposed to constitute a new body UPSAAC to evaluate all universities and degree colleges in the state on the lines of the criteria adopted by National Assessment and Accreditation Council (NAAC) to assess the higher education institutions.

Banaras Hindu University has the status of national importance which means it has a special kind of administration. **Institute of National Importance (INI)** is a status that may be conferred to a premier public higher education institution in India by an Act of Parliament, an institution which "serves as a pivotal player in developing highly skilled personnel within the specified region of the country/state". INIs receive special recognition and funding. AISHE mentions 75 Institutes of National Importance in its report of 2015-16. The University Grants Commission (UGC) is the agency that provides funding for maintenance and development of these universities. Central universities are established by an Act of Parliament and are under the purview of the Department of Higher Education under Union Human Resource Development Ministry. In general, universities in India are recognized by the University Grants Commission (UGC), which draws its power from the University Grants Commission Act, 1956. In addition, 15 Professional Councils are established, controlling different aspects of accreditation and coordination. The Central Universities Act, 2009, which covers 16 Central universities, regulates their purpose, powers, governance etc. This Act empowers the HRD Ministry to remove VCs on grounds of incapacity, misconduct or violation of statutory provisions. Out of 47 Central Universities, only 40 had been assisted by UGC (Plan and Non-Plan grants) in 2015-16 while 7 were directly funded by Government of India. (UGC Annual Report: 2015-16). For example, Indira Gandhi National Open University (IGNOU) and Central Agricultural University Imphal are assisted by the Ministry of Human Resource Development and the Ministry of Agriculture respectively.

Strategic Planning and Resource Allocation

(State budget allocation for Higher Education, Plan and Non-Plan allocation)

The finances for higher education come from a number of sources. Besides fees, the state governments and the central government, through various agencies like the UGC, ICAR, ICSSR, etc. provide the funds for various purposes to HEIs. Central Universities receive funds from the University Grant Commission (UGC) as development (Plan) grants and maintenance (Non-Plan) grants. Institutions of National Importance like Indian Institute of Technology (IITs) receive their

grants directly from the Ministry of Human Resource Development (Department of Higher Education). State Universities also receive development grants from the University Grant Commission (UGC) provided the state Government in accordance with a prescribed formula, gives a matching component of the grant. UGC gives grant to HEIs which are recognized under Section 12 B and 2f of the UGC Act. In addition, universities also collect fees from students and a few universities receive some financial support from trusts, philanthropists and industries. At present, more than three-fourth of the total income of the universities come from the governmental sources. Consequently, the share of contribution to university finance from other sources such as fees and donation has declined considerably.

Channels of Funding

Within the university system in India, institutional structures i.e. Central Universities, state universities, Deemed-to-be universities and Institutes of National Importance; of these, the Central Universities, deemed-to-be universities are largely funded by the federal governments and state universities get grants from the central government channeled through specialized bodies like the UGC in the area of general higher education, the ICAR in the area of agriculture education, the ICMR in the area of medical education. The institution of national importance and the National Open University are directly funded by Central Government.

The state government grant to the Universities can be grouped into Maintenance/Block Grants (non-plan) and Developmental/Non-recurring (plan) grants. Maintenance/Block Grants (non-plan) are basically for the day-to-day functioning of the institutions. Salaries of teaching and non-teaching staff constitute the bulk of the maintenance grant given to a university. Developmental/Non-recurring (plan) grants are normally used for building, equipment, furniture etc. in general (land for a university is given by the state government). For the new schemes sponsored by the federal/ state governments, universities usually get these grants on a matching basis for various activities by the UGC.

The central government provides grants to universities and colleges for general expenditure and development purpose, which are channelized through the UGC. Most of these grants are on a matching basis i.e. the UGC provides only part of the total expenditure required for a scheme. The relative shares of federal and state government vary according to the schemes. The federal/ state share in general education varies between 5 and 100 percent. Programmes like development of post-graduate department or a center of advance studies, the UGC assistance may be on a 100% basis, while for schemes like the construction of staff quarters and student's hostels, the UGC shares come around 50% of the cost.

Budget for the year 2015-2016

The Budget and receipt of Grant-in-Aid for the financial year 2015-16 was to the extent indicated below:

Table 2.4: Budget for the year 2015-2016 (Rs. in crores)

S.N.	Budget Head	Plan Allocation		Non-Plan Allocation	
		BE	RE	BE	RE
1.	General	3905.00	3605.00	6095.45	6095.45
	Total	3905.00	3605.00	6095.45	6095.45

Source: UGC Annual Report 2015-16, pp.3, 48

**Table 2.5: Grants Received During 2015-2016 under Plan & Non-Plan (General)
Budget Head (Rs. in crores)**

SN	Grants Received from	Plan	Non-Plan
1.	MHRD, Shastri Bhawan, New Delhi (General)	3784.81	6095.45
2.	Ministry of Social & Justice Empowerment, New Delhi	218.85	-
3.	Ministry of Tribal Affairs, New Delhi	30.00	-
4.	Ministry of Minority Affairs, New Delhi	55.43	-
	Total	4089.09	6095.45

Source: UGC Annual Report 2015-16, pp.3, 49

Out of the plan grants (4003.31 crores) released during 2015-16, 50.50% had gone to Central Universities, 1.09% to Deemed to be Universities, 17.13% to state universities and 7.92% to Colleges of State Universities, etc. Out of the total Non-Plan grant (6066.47 crores) released during 2015-16, 63.54% had gone to Central Universities, 25.81% to colleges of Delhi and Banaras Hindu University, 3.14% to State Universities, 1.34% to Inter University Centers, 4.44% to Deemed to be Universities, and 1.27% as Administrative Charges (Head Office & Regional Offices).

Plan Grant

Implementation of Sachar Committee Report

Justice Sachar Committee Report has made several recommendations regarding the education sector. To formulate a Plan of Action on the findings of the Report, a High Level Committee was constituted by the MHRD. The Fatami Committee Report has been accepted by the central government for implementation of the recommendations contained therein. During the year 2014-2015, UGC has released an amount of 25.00 crores for implementation of the recommendations of the Sachar Committee.

Coaching Scheme for Residential Coaching for Minorities/SCs/STs and Women

As the scheme of UGC for remedial coaching and entry into services have not created the desired impact, 'Residential Coaching Academies' for Minorities/SCs/STs and Women were set up at Aligarh Muslim University, Maulana Azad National Urdu University, Jamia Hamdard, Babasaheb Bhimrao Ambedkar University, Lucknow and Jamia Millia Islamia to provide equal opportunities to all section of society for equitable growth which entails affirmative action for Minorities,

SCs/STs and women. The financial assistance for setting up Residential Coaching Academies under this scheme during 2014-2015 is given as under for Uttar Pradesh:

Table 2.6: Financial Assistance for Setting up Residential Coaching Academics (Rs. in Lakhs)

SN.	Name of the University	Total Allocation	Grant already released Grant	Released during year 2014-15
1.	Aligarh Muslim University	1328.78	664.39	0.00
2.	Dr. B.R. Ambedkar University Lucknow	1078.78	995.28	0.00

Source: UGC Annual Report 2014-15

Chairs

Status of Establishment of Chairs in Central Universities is sanctioned by UGC. During the year 2014-2015, the UGC released an amount of Rs.25.00 lakhs to Babasaheb Bhimrao Ambedkar University, Lucknow for establishment of Ambedkar Chair.

Establishment of Centre for Professional Development of Urdu Medium Teachers

The UGC is providing funds to the Central Universities, namely, Aligarh Muslim University, Maulana Azad National Urdu University and Jamia Millia Islamia for establishment of Centre for Professional Development of Urdu Medium Teachers.

The grant released to universities of Uttar Pradesh by UGC is as given below:

Table 2.7: Grants for establishment of Centre for Professional Development of Urdu Medium Teachers (Rs. in Lakhs)

Sl. No.	Name of the University	Allocation	Grant released during XII Plan so far
1.	Aligarh Muslim University	400.00	376.00

Source: UGC Annual Report 2015-16, p.138

Grants paid during 2015-2016 against XII Plan allocation

The details of grants released to various Central Universities of Uttar Pradesh under General Development Assistance during the year 2015-16 are as given in Table below:

Table 2.8: Grants Paid to Central Universities of Uttar Pradesh (Rs. In lakhs)

Name of The State	Name Of The University / Medical College	XII Plan Allocation	Grant Released During 2015-16
Uttar Pradesh	Aligarh Muslim University	19700.00	4440.00
	Banaras Hindu University	30500.00	4600.00
	Baba Saheb Bhim Rao Ambedkar University	11030.00	3700.00
	University Of Allahabad	15400.00	3500.00

Source: UGC Annual Report 2015-16, p.140

Non-Plan Grant

During the year 2014-2015, Non-Plan Grant amounting to 352745.40lakh was released to meet the maintenance expenditure of 24 Central Universities and University College of Medical Science. Others, being newly established Central Universities, are presently meeting out their recurring and non-recurring expenditure from the Plan Grant. The details of the grant released to Central Universities under Non-plan during the year 2015-2016 are as under:

Table 2.9: Statement of Non-Plan Grant released by UGC to Central Universities of U.P. during 2015-2016 (XII Plan) (Rs. in Lakhs)

S.N.	Name of the University	Amount Released
1.	Aligarh Muslim University	73578.89
2.	Banaras Hindu University	70237.77
3.	B.B. Ambedkar University	3139.57
4.	Allahabad University	18728.90
	Total for 24 Central Universities	387276.38

Source: UGC Annual Report 2015-16, p.142

Capacity expansion to provide reservation for OBCs in admission

A grant of Rs. 2516.94 lakh to Colleges affiliated to University of Allahabad was released during 2014-2015 for implementation of OBC reservation policy.

One-time additional grant to Central Universities

During the year 2014-2015, UGC provided one-time additional grant of an amount of Rs. 3750.00 lakh to Baba Saheb Bhimrao Ambedkar University, Lucknow for infrastructure development. In the year 2015-16, AMU, Aligarh received Rs. 4500.00 lakh and BHU, Varanasi received Rs. 90.00 lakh as one time additional grant for infrastructure development.

State Universities

Plan Grant

The UGC introduced a new scheme “Swachh Bharat Swasth Bharat” during 2014-15. The Universities were asked to utilize the General Development grant for this purpose which has been already allocated to State Universities. During the financial year 2014-15 an amount of Rs.40,03,93,965.00 was sanctioned to State Universities under General Development Assistance Scheme.

Table 2.10 Grant Allocated & Released to State Universities under General Development Assistance Scheme, Coaching Scheme for SC/ST/OBC / Minorities and Equal Opportunity Cell Scheme during XII Plan Period (2012 - 2015).

SN	State / Name of the University	Development Plan Assistance		Coaching Scheme for SC /ST/OBC /Minorities		Equal Opportunity Cells	
		XII Plan Allocation	Total Grant Released	XII Plan Allocation	Grant Released	XII Plan Allocation	Grant Released
	UTTAR PRADESH						
1.	Bundelkhand University, Jhansi	1101.00	440.40	99.00	24.75	2.00	0.50
2.	Ch. Charan Singh University, Meerut	1389.00	555.60	120.00	30.00	2.00	0.50
3.	CSJM University, Kanpur	800.00	320.00	120.00	30.00	-	-
4.	DDU Gorakhpur University, Gorakhpur	1341.00	536.40	120.00	30.00	2.00	0.50
5.	Dr. Bhim Rao Ambedkar University, Agra	1232.00	492.80	120.00	30.00	2.00	.50
6.	Dr. RML Avadh University, Faizabad	1168.00	467.20	120.00	30.00	2.00	.50
7.	J.R.H. University, Chitrakoot	961.00	384.40	36.00	9.00	2.00	0.50
8.	Lucknow University, Lucknow	1577.00	630.80	14.00	3.50	7.00	1.75
9.	M.G. Kashi Vidyapith, Varanasi	1022.00	408.80	81.25	20.31	-	-
10.	MJP Rohilkhand University, Bareilly	932.00	372.80	50.00	12.50	2.00	.50
11.	Sampurnanand Sanskrit University, Varanasi	853.00	341.20	120.00	30.00	-	-
12.	VBS Purvanchal University, Jaunpur	1103.00	441.20	120.00	30.00	2.00	0.50
13.	Dr. RML University, Lucknow	800.00	320.00	-	-	-	-

Source: UGC Annual Report 2014-15

During 2015-16, the grant released for General Development Assistance (GDA) to colleges of U.P. was Rs.11.42 crores benefitting 145 colleges. During the XII Plan, in the period 01.04.2012 to 31.03.2016, the total beneficiaries were 211 colleges the grant released was Rs. 13.96 crores while the allocation was nil. (UGC Annual Report, 2015-16: 163)

Deemed to be Universities

The University Grants Commission (UGC) provides both Development (Plan) and Maintenance (Non-Plan) assistance to identified institutions deemed to be universities under various schemes/ programmes. At present, there are 21 identified institutions deemed to be universities receiving Plan/ Non-Plan/ Fixed Maintenance/ Special Grant from the UGC. During the financial year 2014-15 Deemed University, Dayalbagh Educational Institute, Dayalbagh, Agra received Plan and Non-

Plan (100% maintenance grant) and Central Institute of Higher Tibetan Studies, Sarnath, Varanasi received Plan Grant only.

Plan Grant: General Development Grant

Plan grant is given for the development of 18 deemed to be universities. During the XII Plan, General Development Assistance to universities is being provided in the form of Plan Block Grant. For Universities, it includes Construction/ Renovation of Buildings (including renovation of Heritage Buildings), Campus Development, Staff, Books & Journals, Laboratory, Equipment and Infrastructure, Annual Maintenance Contracts, Innovative Research Activities, University – Industry linkages, etc.

Table 2.11: Plan Grant Released to Deemed to be Universities during the Year 2015-16 (as on 31.03.2016) (Rs. in lakhs)

SN	Name of the University	XII Plan Revised Allocation	Released against XII Plan General Development Assistance	Sanction against XI Plan Allocation	Scheme of Special Honorarium to Fellows	Total
1	Central Institute of Higher Tibetan Studies, Sarnath, Varanasi	702.28	-	-	-	-
2	Dayalbagh Educational Institute, Agra	1100.26	220.00	-	-	220.00

Source: UGC Annual Report 2015-16, p.156.

During the XII Plan, the four colleges under BHU received certain grants. Vasanta College for Women received Rs.10.40 lakhs as a block grant for the development of labs, library, etc. The other colleges also received lesser amount as plan allocation. Vasanta College also received 19 lakhs under UGC Coaching Scheme for NET Classes, Remedial Classes and Entry into Services in the Plan period.

Non-Plan Grant (Maintenance Grant)

The UGC is providing Non-Plan grant to 10 deemed to be universities. Out of these 10 deemed to be universities, 8 are receiving 100% Non-Plan grant towards salaries and allowances, retirement benefits and non-salary. The remaining 2 deemed to be universities viz. Jamia Hamdard, New Delhi, and Sri Chandrasekhendra Saraswathi Vishwavidyalaya, Kanchipuram are receiving fixed maintenance grant. Dayalbagh Educational Institute, Agra received Rs. 2161.00 lakh (2014-15) and Rs. 2635.65 lakh (2015-16) as Non-Plan Grant (Maintenance Grant) from UGC.

UGC provides financial assistance to 53 Colleges affiliated to Delhi University and 4 Colleges admitted to the privileges of BHU under Non-Plan and 64 Colleges affiliated to Delhi University under Plan (53 College + 11 College of Delhi Administration). In addition to this grants, UGC also provides grants to Delhi Colleges/Delhi based Medical Colleges for Seminars/Conferences/Workshops at National/International/State level. To determine the budget of each college, annual

interface meetings with the Principal along with Account officials of the college is held in the UGC office every year. In 2015, it was held in December while in 2016, it was held in November.

The four Colleges of BHU which are getting financial assistance under Non-Plan are:

1. Arya Mahila PG College, Varanasi
2. D.A.V. PG College, Varanasi
3. Vasanta Kanya Mahavidyalaya, Kamachha, Varanasi
4. Vasanta College for Women, Rajghat Fort, Varanasi

The UGC also provides maintenance grants to 4 colleges admitted to the privileges of Banaras Hindu University under Non-Plan scheme as under:

- 95% Grants directly from the UGC. Prior to 2007, they used to receive 47.5% grant from UGC and matching 47.5% grant from UP Government.

- 5% Grants from the management of the college.

Grants provided to BHU Colleges under Non-Plan was Rs. 3148.66 lakhs (Allocation) and grant released was Rs. 3148.66 lakhs during the financial year 2014-15. During 2015-16, the allocation was Rs. 3575.00 lakh and the released amount was exactly the same.

Table 2.12: Details of the grants released to 4 BHU colleges under Non-Plan for the year 2014-15(Rs. in Lakh)

SN	Name of the College	Salary	Pension	Non-Salary	Sub-Total
1	AryaMahila PG College	700.14	40.77	28.35	769.26
2	D.A.V. PG College	755.33	83.88	33.83	873.04
3	Vasant Kanya Mahavidyalaya	645.32	42.15	16.74	704.21
4	Vasanta College for Women	738.95	42.12	21.08	802.15
	Grand Total	2839.74	208.92	100.00	3148.66

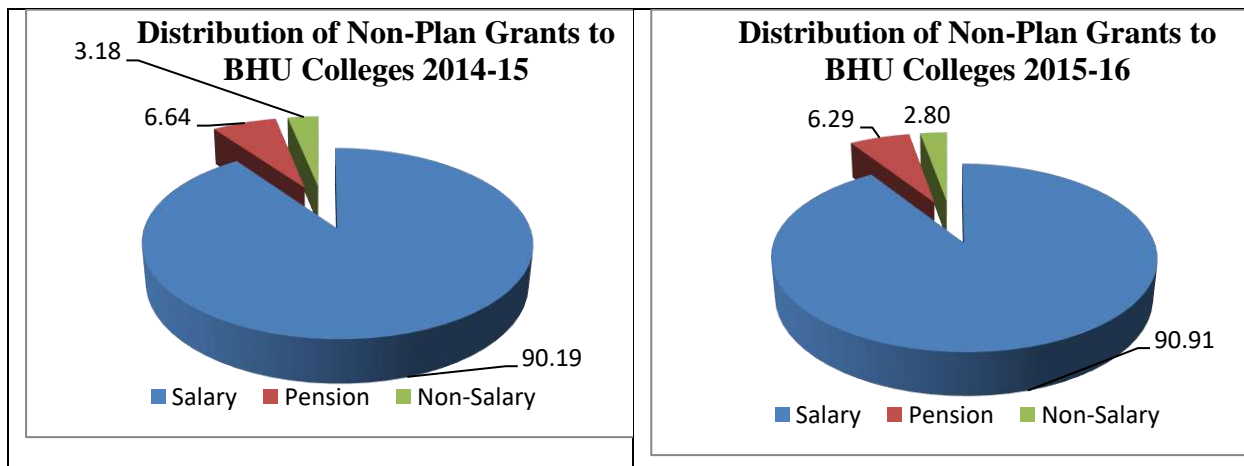
Source: UGC Annual Report 2014-15

Table 2.13: Details of the grants released to 4 BHU colleges under non-plan for the year 2015-16 (Rs. in Lakh)

SN	Name of the College	Salary	Pension	Non-Salary	Sub-Total
1	Arya Mahila PG College	1008.51	78.44	37.57	1124.52
2	D.A.V. PG College	670.65	44.66	21.08	736.39
3	Vasant Kanya Mahavidyalaya	725.63	38.45	13.00	777.08
4	Vasanta College for Women	845.21	63.45	28.35	937.01
	Grand Total	3250.00	225.00	100.00	3575.00

Source: UGC Annual Report 2015-16, p.177

Chart 2.4: Distribution of Non-Plan Grants to BHU Colleges 2014-15 & 2015-16



Challenges Faced by Higher education in the State

India's huge pool of young people is considered its biggest strength. Unfortunately, India is far from having its act together when it comes to figuring out how to educate these young people. Government data suggests that one out of every seven children born in India goes to college. The nation suffers from both quantities as well as quality challenge when it comes to higher education. Although there have been challenges to higher education in the past, the recent calls for reform may initiate a fundamental change in higher education. This change may not occur as a direct response to calls for greater transparency and accountability, but rather because of the opportunity to reflect on the purpose of higher education. There are many basic problems facing higher education in India today. These include inadequate infrastructure and facilities, large vacancies in faculty positions and poor faculty thereof, low student enrolment rate, outdated teaching methods, declining research standards, unmotivated students, overcrowded classrooms and widespread geographic, income, gender, and ethnic imbalances. The first challenge to be overcome is to increase the present rate of enrolment of 20 per cent. Another challenge that confronts India is in the disparities in access to education, especially in terms of economic class, gender, caste and ethnic and religious belonging. During the 11th Plan, a two-fold strategy that was in place helped ensure this to an extent there was an increase in the number of new institutions, and in the intake capacity of existing institutions. But despite this, our institutional capacity is still low. In the case of universities, out of the 712 universities, about 360 are of private, state and of deemed status. The high cost of private education has adversely affected access to education especially for marginalized classes and economically backward class. In 2012, of the total share of students in private institutions, the top 20 per cent (in terms of consumption expenditure) cornered more than half the number of seats. The bottom 20 per cent got only 4 per cent.

The share of ST and SC students accounted for only 4 and 10 per cent respectively as against 45 per cent by OBCs and 41 by others. A shortage of financial resources for higher education is amongst the key concerns in this sector. According to the Planning Commission's Approach to the 12th Five Year Plan document, "State universities and their affiliated colleges that account for

more than 90% of the enrolment suffer from severe fund constraints and poor governance leading to poor quality”. Approximately 18% of all government education spending or 1.12% of GDP is spent on higher education, while the need is to increase it to 25% of the total education expenditure by the Government and 1.5% of the GDP. The regulatory environment governing higher education in India is characterized by uncertainty and conflicts between multiple regulatory authorities. The role of the private sector in higher education is essential, particularly in the context of a shortage of financial resources for this segment. However, as noted by the Working Group for Higher Education in the 12th Five-Year Plan (2012-17), “while almost all major committees and policy documents have accepted the need for increased involvement of private sector in higher education, there is also lack of clarity on funding pattern, incentives, and regulatory oversight”. There also remains regulatory confusion relating to the role that foreign higher education institutes can play in the country. The higher education system also suffers from an over-centralized structure. Faculty shortages and the inability of the state educational system to attract and retain well-qualified teachers have been posing challenges to quality education for many years. Uttar Pradesh is no exception to this scenario.

Summary

Uttar Pradesh as one of the largest state of India has made a remarkable progress in higher education since independence. The number of universities (private as well as government), colleges (government, government-aided and private) and management institutes have grown manifold. The lack of permanent qualified teachers, infrastructure lacunae, resource crunch, etc. is some of the major problems faced by HEIs. The lack of fund allocation for seminars, conferences, major and minor projects has been seen in colleges of BHU. The Human Resource Centre, BHU is also not able to hold Orientation/ Refresher etc. courses for the teachers due to the non-release of funds. This has been witnessed during the last two years. The research scholars admitted to colleges of BHU are not getting non- NET/JRF fellowship since 2014-15 as BHU has stopped giving this fellowship. The Research Scholars of all Central Universities are entitled to get this scholarship. The matter was referred to UGC by the colleges but no solution has emerged till date. The lack of student centric approach is evident in this case.

The issue of financial and administrative autonomy of HEIs with proper check and balance system is a major issue. Mushrooming of colleges especially teacher education colleges without proper infrastructure, regular teaching faculties have a negative impact on the quality of higher education. Proper governance and management of government aided and private college can only be achieved by checking the rapid commercialization of education and providing for a fixed guideline for the constitution of the Managing Committee/ Governing Body of these colleges. A greater representation should be given to persons from academia, alumni, university representative, retired faculty members, etc. The representation of the Trust/ Organization running the HEIs should be restricted to 2-3 members in a committee of 10-12 members. The meeting should be called at least twice a year and all major financial, administrative and academic matter is thoroughly discussed and debated.

Chapter 3

Profile of the Case Study Institution

Introduction

The main objective of the present study is to critically evaluate the structure and problems of governance and management of HEIs in India. The study is based on primary data collected from different stakeholders of higher education- the students, the teachers and top officials/ management of the University and college. The present chapter provides a brief profile of the Banaras Hindu University and the affiliated college chosen for analysis i.e. Vasanta College for Women. Out of the four colleges affiliated to BHU, Vasanta College for Women has been purposely chosen as it is the oldest college, teaches relatively more subjects, has its own hostels and thus was expected to give a better picture of management and governance at college level. The criterion adopted in selection of the faculties and departments and the tools used for data collection has been already discussed in Chapter 1. This chapter is based mainly on secondary data in form of Act, Statutes, etc. of the university and college.

Banaras Hindu University, established in 1916 by an Act of Parliament (The Banaras Hindu University Act, Act No. XVI of 1915 as amended by Act No. III of 1922, Act No. XXIX of 1930, Act No. LV of 1951, Act No. 34 of 1958, Act No. 52 of 1966 and Act No. 34 of 1969) is unique in the sense that it combines the traditional as well as the modern subjects in its vast sphere of quality higher education. It is a residential, teaching and research university aimed at retrieving and reconfiguring the traditional knowledge systems along with western systems of knowledge in Science, Technology, Medicine, Agriculture, etc. The report of the Education Commission 1964-66 stated the number of affiliated colleges as 18 (Education and National Development Report of the Education Commission 1964-66,1970:538) but presently there are only four colleges admitted to the privileges of Banaras Hindu University.

The confluence of oriental and theological learning with liberal arts, science and engineering, Ayurveda and modern systems of medicine and agriculture makes BHU a unique Capital of Knowledge - '*Sarva Vidyaki Rajdhani*' in the words Dr. Shanti Swarup Bhatnagar, FRS, an eminent former faculty. The holistic model of education, conceived and enriched by its illustrious founder, Bharat Ratna Mahamana Pandit Madan Mohan Malaviyaji, offers unmatched perspectives to young minds and facilitates the accomplishment of their creative talents. Its contribution in extending the frontiers of knowledge in critical areas and also in the regeneration of community values is well manifested throughout the world with its alumni occupying key positions in varied professional domains. Its alumni and faculty members have been leaders in the national movement, in nation building after independence and in establishing major industries/infrastructure. Its alumni have been Vice-President of India, Chairman and Vice-Chairman of Rajya Sabha, Chief Ministers of states, Union Cabinet/ State ministers, Vice-Chancellors, Chairman of ONGC, SAIL, Coal India, Railway Board, Atomic Energy Regulatory Board, Directors of Indian Institute of Science, Indian Institute of Technology, Indian Institute of Management, Director General of CSIR, DAE, DRDO Laboratories, Secretaries of Government departments etc. They have been recipients of

Bharat Ratna, Padma Vibhushan, Padma Bhushan and Padma Shree, Fellowship of Royal Society of London, Fellowship of Indian Academies of Science, Engineering, Medicine, Agriculture, Music, Literature, Dance and Drama etc. Its faculty members have been honored with prominent awards and recognitions of the country and abroad such as S.S. Bhatnagar Award (6), Fellowships of Indian National Science Academy (27), Rashtrapati Samman for Sanskrit scholars (6), B. C. Roy Award and Jawaharlal Nehru Fellowship and almost all well-known fellowships and awards in the field of scholarship and research. BHU has maintained its prime position in the teaching and research and has recently been declared as the Best University of India by the India-Today magazine. It has been declared as Institution of National Importance by UGC and also as a University with Potential for Excellence by UGC on May 15, 2012.

It is one of the Indian Universities with undergraduate, postgraduate and research, all in one campus and the only one with a universal spread of diverse disciplines. The university has completed 100 years of its establishment in the year 2016. The holistic model of education conceived and enriched by its illustrious founder Mahamana Pandit Madan Mohan Malviyaji offer unmatched perspectives to young minds and facilitates the accomplishment of their creative talents.

Brief History of the University

The idea of a Hindu University was declared by Pandit Madan Mohan Malaviyaji at a meeting held in 1904 at Varanasi under the President-ship of His Highness Maharaja Sir Prabhu Narayan Singh of Varanasi. At the 21st Conference of the Indian National Congress in Benares in December 1905, Malaviyaji publicly announced his intent to establish a university in Varanasi. At the same time Mrs. Annie Besant was also planning to establish 'The University of India'. In April 1911 Mrs. Annie Besant and Pandit Madan Mohan Malaviyaji met and decided to unite their forces and work for a common Hindu University at Varanasi. The great education enterprise was launched in full swing in July, 1911. A society under the name, "The Hindu University Society", was formed and registered in December, 1911 with Maharaja Sir Rameshwar Singh Bahadur of Darbhanga as its President and Sir Sunder Lal, a Judge of the Allahabad High Court as its Secretary, its office was opened at Allahabad on the 1st January, 1912.

The Banaras Hindu University Bill was introduced in the Imperial Legislative Council in March, 1915 by Sir Harcourt Butler. The Bill was referred to a Select Committee and finally the Imperial Legislative Council passed it on 1st October, 1915 and it received the assent of the Governor-General and Viceroy of India the same day and became an Act. By a notification published in the Gazette of India on 25th March, 1916, the Banaras Hindu University Act of 1915 was brought into force with effect from 1st April, 1916 and the Hindu University Society was dissolved. Dr. Sir Sunder Lal was appointed the first Vice-Chancellor of BHU.

The Founder's Vision

The founding father had the vision of having a centre of learning that was able to develop competent, able minded, cultured students who cherish a value system that the nation fostered. In the words of Malaviyaji- "It is my earnest hope and prayer that this centre of life and light which is coming into existence, will produce students who will not only be intellectually equal to the best of their fellow students in other parts of the world, but will also live a noble life, love their country and be loyal to the Supreme Ruler."

The Mission

Malaviyaji also stated the mission of the University: "A teaching university would but half perform its function, if it does not seek to develop the heart power of its scholars with the same solicitude with which it develops their brain power. Hence, this university has placed formation of character in youth as one of its principal objects. It will seek not merely to turn out men as engineers, scientists, doctors, theologians, and merchants but also men of high character, probity and honour whose conduct through life would show that they bear the landmark of a great university."

Location and Area

The University is located on the western bank of river Ganga in the holy city of Varanasi. The picturesque main campus of BHU is spread over 1360 acres of land with majestic buildings of great architectural delight. It also has another campus located in Mizapur. The details are as under-

Table 3.1: Campus Area and Built up Area of the University

	Location	Campus area	Built up area
Main Campus	Main Campus BHU Urban	1361 Acres	54,63,450 sq.m
Other Campus	South Campus RGSC Rural	2600 Acres	1,08,05,490 sq.m

Evolution of the University

It can be gauged from the establishment of different institutes, faculties and departments of the university gradually, expanding the vast horizon of this great university. The courses in Science and Technology started along with Humanities, Oriental Learning, Music, etc. when the university was established in 1916. In Science, the university was teaching Physics, Chemistry, Botany and Zoology (the last two in a common Department of Biology) under a College of Science. BHU was first in India to teach Geology as a separate subject in 1921. The College of Science was elevated to the status of Faculty of Science in 1968 and finally as Institute of Science in 2016.

Faculty of Arts is the oldest and largest faculty of BHU. Its genesis was the Central Hindu College (established by Annie Besant in 1897, it formed the nucleus for the establishment of BHU in 1916) whose curriculum included history, culture, philosophy, language and literature. Presently, it has 22 teaching departments. The faculty of Social Science was created in 1971 but some of the departments existed earlier as part of faculty of Art. Department of Economics and History were established as early as 1918; Political Science was established in 1929, Psychology in 1962 and

Sociology in 1966. Faculty of Education started as Teacher's Training College (TTC) in August 1918. Faculty of Law, presently having the status of Law School started in the session 1923-24. Sanskrit Vidya Dharma Vigyan Sankaya evolved from Sanskrit College which was established in 1918. Commerce as a subject was introduced in 1940 as a part of Department of Economics; became an independent department in 1950 and a separate faculty in 1965. Management was a part of Commerce faculty but was separated from it in 1968 and became a separate faculty in 1984. It was upgraded as Institute of Management Studies in 2016. Mahila Mahavidyalaya (originally named Women's College) started in the session 1928-29.

The Institute of Agricultural Sciences, formally established in August 1980 had its beginning as Institute of Agriculture Research in 1931 which was established on the recommendations of Royal Commission of Agriculture, of which, Malaviyaji was a member. The Institute of Medical Sciences has three faculties- Ayurveda, Medicine and Dental Sciences. The beginning was as a unit of Ayurveda in Faculty of Oriental Learning and Theology in 1922. The Medicine Faculty has its genesis as College of Medical Science in 1960; upgraded as Institute of Medical Sciences by UGC in 1971. Dental Science started as a unit of Department of Surgery, IMS in 1962; became a separate department in October 1971, PG department in 1979 and a separate faculty in September 2005.

IIT-BHU had its beginning as three constituent colleges of BHU – the Benares Engineering College (BENCO) in 1919, College of Mining and Metallurgy (MINMET) in 1923 and College of Technology (TECHNO) in 1932. The three were merged to form IT-BHU in 1968. It was upgraded to IIT-BHU in 2012. The latest institute to be established was Institute for Environment and Sustainable Development in 2010, during the XI Plan by a grant of 7.5 crores from UGC.

The three schools under BHU are Central Hindu Boys School (earlier called Collegiate School, established by Annie Besant on 7th July, 1898), Central Hindu Girls School (established by Annie Besant in 1904), and Shri Ranvir Sanskrit Vidyalaya (established in 1883 by Sadre-e-Riyasat of Kashmir). They were all handed over to BHU and became a part of it. The four colleges under BHU are Vasanta College for Women (established in 1913 by Annie Besant), DAV PG College (1938), Vasanta Kanya Mahavidyalaya (1954) and Arya Mahila PG College (1956).

Courses & Programmes Currently Being Offered: Department wise UG, PG and PhD Levels, Various Disciplines

Banaras Hindu University enshrines within its precincts a phenomenal range of faculties incorporating diverse disciplines of Science, Humanities, Social Sciences, Commerce, Law, Education, Visual Arts, Performing Arts, Sanskrit Vidya Dharma and Vigyan, Management, Medicine – Modern, Ayurveda & Dental Science, Nursing, Engineering and Technology, Agriculture, Library Science, Journalism and a large number of Indian and Foreign Languages. The University comprises **5 Institutes** (Institute of Medical Sciences, Institute of Agricultural Sciences, Institute of Environment & Sustainable Development, Institute of Science and Institute of Management), **16 faculties, 131 Departments, Mahila Maha Vidyalaya** (Women's College) and **5 interdisciplinary Schools**. The erstwhile Institute of Technology has been upgraded to **Indian**

Institute of Technology (IIT). Collaboration between BHU and NIFT to launch degree level course in Fashion Technology is under process (UGC Annual Report 2015-16: 12).

Table 3.2: Academic Programmes Offered by the University

SN	Academic Programme	Number of Courses	SN	Academic Programme	Number of Courses
1	Undergraduate	18	5	PhD	99
2	Postgraduate	121	6	Integrated M Phil- PhD	01
3	Integrated Masters	--	7	Certificate	11
4	M. Phil	02	8	Diploma	31

The University has four colleges located in the city which are admitted to the privileges of BHU and three schools. In addition, the Rajiv Gandhi South Campus was established in 2006 in Barkachha, Mirzapur, about 75 kms away from the main campus.

Approved Research Centre

There are at present 18 departments which have received support under Special Assistance Programme (8 Centers of Advanced Studies and 10 Departments under DRS level), and 7 departments/ schools supported under FIST programme of DST. Some prominent research centers include- DBT Centre of Genetic Disorders, Center for Environmental Science and Technology, Advanced Immunodiagnostic Training and Research Center, Centre for Experimental Medicine and Surgery, Nano Science and Technology Center, Center for Integrated Rural Development, Centre for Study of Social Exclusion and Inclusive Policy (CSSEIP), Center for the Study of Nepal (CNS), Malaviya Center for Peace Research (MCPR), Hydrogen Energy Center, Center for Women's Studies and Development (CWSD) etc.

Semester System & Credit System

The University has adopted semester system for all the degree courses and post graduate and is gradually shifting to 'Choice Based Credit System'. Thus, UG students enrolled in Faculties of Social Sciences are given choice of opting some selected courses from Faculties of Arts and Science. The options are however limited, for example a student enrolled in Economics Honors can opt Geography (Faculty of Science), but he cannot opt for Zoology. Similarly, Economic Honors students can opt for Tourism Management (Faculty of Arts) but not Sanskrit or German or French. It was planned to adopt a truly Choice Based Credit System (CBCS) and 'Open Sky' options allowing greater flexibility during the XII Plan period and the University has marched ahead on the designated path. The flexibility of choosing subjects within faculties already exists at the masters level (e.g. somebody doing MA in Economics can take one paper of Political Science or History or Sociology but he/she cannot go for Geography). The University is now planning to promote inter-faculty credit transfer so that students doing their major in one faculty can choose minor from other faculties. The number of elective courses at PG level is also being increased.

NAAC Accreditation

Banaras Hindu University has been accredited by the National Assessment and Accreditation Council (NAAC) at 'A' Grade in the year 2006 as well as in 2015.

Student, Faculty and Staff Strength (Session 2013-14)

Faculty-wise enrolment of students disaggregated by male and female

Table 3.3: Faculty-wise Enrolment of Students (BHU)

S N.	Name of the Institutes/ Faculties	Total No. of Under Graduate Students			Total No. of Post Graduate Students			Total No. of PhD Students		
		Male	Female	Total	Male	Female	Total	Male	Female	Total
1	Institute of Agricultural Sciences	427	186	613	382	140	522	59	20	79
2	Institute of Environment & S Dev.	-	-	-	48	33	81	11	8	19
3	Faculty of Medicine	333	358	691	375	113	488	24	20	44
4	Faculty of Ayurveda	171	147	318	80	38	118	8	8	16
5	Faculty of Dental Science	60	90	150	5	8	13	0	0	0
6	Faculty of Arts	1970	17	1987	1173	778	1951	172	103	275
7	Faculty of Commerce	928	377	1305	344	212	556	16	16	32
8	Faculty of Education	388	177	565	66	44	110	3	5	8
9	Faculty of Law	978	187	1165	107	21	128	0	0	0
10	Institute of Management Studies	-	-	-	227	84	311	8	5	13
11	Faculty of Performing Arts	113	73	186	69	74	143	6	8	14
12	Institute of Science	1823	583	2406	1229	622	1851	134	101	235
13	Faculty of Social Sciences	1403	0	1403	651	458	1109	43	24	67
14	Faculty of SVDV	472	15	487	191	2	193	7	0	7
15	Faculty of Visual Arts	234	155	389	95	66	161	6	1	7
16	Mahila Mahavidyalaya	0	2255	2255	0	217	217	0	1	1
	TOTAL	9300	4620	13920	5042	2910	7952	497	320	817

Enrolment of Students at the Affiliated Colleges (Disaggregated by Male, Female)

Table 3.4: Total Enrolment of Students in Colleges of Banaras Hindu University

Sl. No.	Name of the Affiliated Colleges	Total No. of Under Graduate Students			Total No. of Post Graduate Students			Total No. of PhD Students		
		Male	Female	Total	Male	Female	Total	Male	Female	Total
1	Vasant Kanya Mahavidyalaya	0	1314	1314	0	271	271	0	17	17
2	Arya Mahila PG College	0	2265	2265	0	468	468	0	0	0
3	Vasanta College for Women	0	1812	1812	0	302	302	12	13	25
4	DAV PG College	1820	113	1933	317	97	414	10	6	16
	TOTAL	1820	5504	7324	317	1138	1455	22	36	58

Faculty and Staff Strength The university is rated high not only for its sprawling campus, magnificent building and modern amenities but also for the quality of teaching, research and academic environment which are all the net result of its staff- teaching as well as support staff. The university can easily boast of having in its fold the most competent brand of academicians- highly skilled, intellectually supreme, dedicated and committed who have vast experience and expertise in their respective field of expertise. The strength is given in the table below-

Table 3.5: Faculty and Staff Strength of BHU

Positions	Teaching Faculty			Non-Teaching Staff	Technical Staff
	Professor	Associate Professor	Assistant Professor		
Sanctioned by the UGC / University (Permanent)	129	313	775	4877	780
Number of persons working on contract basis	--	--	175	113	05

In addition to the above the University at present also has a galaxy of Emeritus / Adjunct Faculty /Visiting Professors on its rolls.

Table 3.6: Adjunct/Visiting Faculty and Emeritus Professors

Emeritus Professors	Adjunct Professors	Visiting Professors
21	03	37

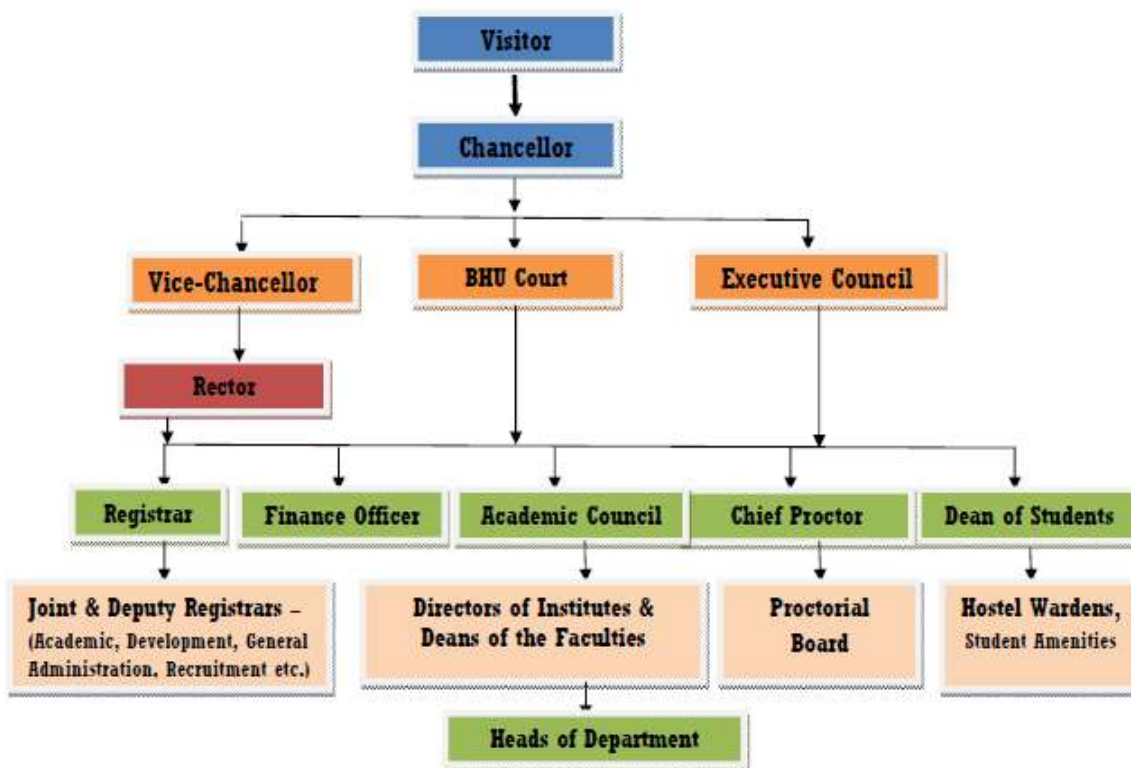
Governance and Management Structure

The governance and management of a university like BHU which not only imparts education at various levels but also provides community services (with India's largest Trauma Centre and Sir Sunder Lal Hospital as the largest super specialty hospital in this part of the country where thousands of people from neighbouring states turning up every day for treatment) on such a massive scale is

not an easy job. This besides requiring a very capable person at the helm as Vice Chancellor to give direction and vision also makes it mandatory to create a governance structure which can handle the work but at the same time is not top heavy. The critical importance of governance and management was taken into account while determining the governance structure of the university. This is why a pyramid structure was envisioned for the proper governance and management of the university by the founders of the university and the same has been shown in the chart given below:

Chart 3.1: Governance and Management Structure of the University

Governance & Management Structure of the University



Academic and Administrative Structure (Size and Composition)

Constitution

BHU is administered by the Banaras Hindu University Act, 1915 as amended from time to time. The day to day functioning of the university is guided by BHU Calendar that is amended from time to time to take into account the developments and needs of running this mammoth institution. The Constitution of most of the Indian Universities provides for:

1. University Court (Senate)
2. Executive Council (Syndicate)
3. Academic Council
4. Finance Committee (Qamar, Furqan, 1996: 43)

The BHU Act, Chapter I, Article 8A mentions about the authorities of the university. The following shall be the authorities of the University, namely:

- (a) The Court
- (b) The Executive Council (EC)
- (c) The Academic Council (AC)
- (d) (Omitted)
- (e) The Finance Committee
- (f) The Faculties
- (g) Such other authorities as may be declared by the statutes to be the authorities of the University.

Visitor

The President of India is the Visitor of all Central Universities including Banaras Hindu University.

Chancellor

The Chancellor is elected by the Court and holds office for a term of three years. The Chancellor presides over all meetings of the Court. The Chancellor is the head of the university and presides at Convocation for conferring the degrees.

The BHU Court

The BHU Act, Chapter I, Article 9 make provision for a BHU Court mainly as an advisory body and state its function

- a. to advise the Visitor in respect of any matter which may be referred to it for advice,
- b. to advise any authority of the University in respect of any matter which may be referred to the Court by such authority; and
- c. to perform such other duties and exercise such other powers as may be assigned to it by the Visitor or under this Act.

The Chancellor and members of Executive Council are ex-officio members of the Court. In addition, there is provision of nomination of Heads of Departments, Professors, Staff members and men of standing in public life by the Visitor. There is also provision for nomination by Speakers of Lok Sabha and Rajya Sabha. The President of India in his capacity as Visitor of BHU nominated 30 persons as members of the BHU Court for a term of three years. (The Times of India, April 6, 2013). The total number of members of the Court was 37 in 2014-15 while it was 44 in 2011-12 as per the details given in the BHU Annual Reports. The Vice Chancellor presents the Annual Report of the University every year before the Court which is then approved by it. The meeting of the Court is held generally once in the month of November.

Executive Council (EC)

This Central University has an Executive Council which is the most powerful body of the University. The Executive Council consists of the Vice-Chancellor, ex-officio and eight persons nominated by the Visitor. The members of the Executive Council hold office for a term of three years. Subject to the provisions of the Act, Statutes and the Ordinances, the Executive Council has the right to appoint faculty members, Registrar, the Dean of Students, the Chief Proctor, the Librarian and other salaried officers and staff of the University on the recommendation of the Selection Committee. It fixes the emoluments and defines the duties and conditions of service of Professors, Readers, Lecturers and other members of the teaching staff. It is also entrusted with the responsibility of managing and regulating the finances, accounts, investments, property, business and all other administrative affairs of the University and, for that purpose, to appoint such agents as it may think fit. It also has the power to entertain, adjudicate upon, and if it thinks fit, to redress, any grievances of the salaried officers of the University the teaching staff and other employees of the University who may for any reason feel aggrieved. It can delegate any of these powers to the Vice-Chancellor, Rector, Registrar, Head of Departments and Institution and Officers of the University or to a Committee appointed by it as it may deem fit.

The Academic Council (AC)

The Academic Council, the academic body of the University subject to the BHU Act, Statutes and Ordinances, is in charge of the organization of study and research in the University and the Colleges, the courses of study and the examination of students and the conferment of ordinary and honorary degrees. It also exercises such other powers and perform such other duties as may be conferred or imposed on it by the Statutes and Ordinances, and advises the Executive Council on all academic matters. The Academic Council is an academic body with no financial power.

The Academic Council consists of the following members, namely the Vice-Chancellor, all the Deans of Faculties, Director and Deans of all five institutes, all Heads of the teaching Departments, all Professors who are not Heads of teaching Departments, the Librarian, the Dean of Students, the Chief Proctor, two Readers/ Associate Professors and four Lectures/Assistant Professor by rotation according to seniority, Principal of Mahila Mahavidyalaya, Principals of four colleges admitted to the privileges of the University, not more than five persons, not being employees of the University, co-opted by the Academic Council for their specialised knowledge.

The Vice Chancellor

The Vice-Chancellor is the Chief Executive and Academic Officer of the University. He is appointed by the Visitor on the recommendation of a Selection Committee constituted by him for the purpose. The tenure of the Vice Chancellor is three years.

The Vice-Chancellor exercises general supervision and control over the affairs of the University and give effect to the decisions of its authorities. He is the *ex-officio* Chairman of the Executive Council, the Academic Council, and the Finance Committee and in the absence of the Chancellor, presides at any convocation of the University for conferring degrees and also at any meeting of the Court.

He has the power to convene meetings of the Court, the Executive Council and the Academic Council and performs all such acts as may be necessary to carry out the provisions of this Act, the Statutes and the Ordinances. In case of any emergency which requires immediate action to be taken, the Vice-Chancellor is authorized to take such action as he deems necessary. He can report the same for approval at the next meeting to the Executive Council, Court or Visitor who in normal course are entitled to take such decision.

Rector

The BHU Act also provides for the post of Rector who is to be appointed by the Executive Council on the recommendation of the Vice Chancellor. The Rector has to work as the deputy of the Vice-Chancellor and assist him in all matters and exercises such powers and performs such duties as is delegated to him by the Vice-Chancellor. The senior most Professor of the university is usually appointed as the Rector. Presently, no one holds this post.

Governance Structures, Legislations, Rules, Procedures, Process

Shared Governance Structures

The University has a decentralised system of governance. Sufficient autonomy is given to the Departments in designing curricula, introducing courses and organising different academic activities. Every faculty of the University has its own administrative structure. The Faculty looks after the academic aspect of the work and also manages the departments. The Central administration under the overall guidance and direction of the Vice Chancellor manages the finance, general administration, examination etc.

Management Decision Making

The university ensures culture of participative management at all levels of its operations from top decision making to the bottom level of execution. This is ensured through various Statutory Provisions as committees are prescribed for decision making at all levels in the Banaras Hindu University Calendar. Not only this, the university has developed a **culture of democratic and dialogic** functioning, as it is considered an essential ingredient towards ensuring the success of adoption of any new and innovative idea/practice.

- There is high degree of involvement of teachers as well as students in all academic and administrative ventures in the faculties. The university is highly **proactive in grooming leadership** at various levels. Two strategies are adopted for this: (i) Faculty and staff members are given opportunities to undertake higher levels of responsibility in their domain of work; and (ii) The University ensures continuous in-service training in leadership through deputing or in-house organization of such programmes.
- All important decisions are discussed and deliberated in different committees of the university and if required experts from outside are also invited. As far as possible every effort is made to ensure equitable participation of all stakeholders in the decision making process.

- It is also making conscious efforts to enter a state of ‘dialogue’, by promoting and welcoming the spirit of questioning and argument (both from the teachers and students), which we believe is an essential prerequisite to a truly participative culture.
- With regard to the academic and administrative **leadership to be provided by the university to its constituent colleges**, the University provides full autonomy in administrative and financial matters to them. However, to provide them leadership in their academic activities the University has adopted a two-pronged approach towards them. One of these is to involve them at various levels of academic functioning within the faculty and departments, for example, involving them in curriculum design and revision, preparing new course structures, organizing lectures/seminars/conferences/symposia/ workshops, setting question papers, examination and admission work, etc. The other one is to provide guidance and mentoring to them by helping them frame syllabi, providing course guidelines, etc.

Strategic Goals and Allocation of Resources

There is a decentralised process of deciding goals in the University. The Departments of the University have their Internal Quality Cells. These cells on a continuous basis deliberate and discuss the ways and means to improve the performance of the Department. The proposals of the Department are discussed at the Faculty level quality cells and then the resource requirements of different Departments are estimated and a final proposal is sent to the University Quality Cell and Finance Committee. The proposals are discussed and then the resources are allocated.

University Budget Process

Finance Committee as provided in Statute 21 of the University, examines accounts and scrutinizes proposals for expenditure. The Annual accounts and the budget of the University for the next financial year is prepared by the Finance Officer and is then considered by the Finance Committee and its comments are submitted to the Executive Council for approval with or without amendments. The Finance Committee fixes limits for the total recurring expenditure and the total non-recurring expenditure for the year, based on the income and resources of the University which, in the case of productive works, may include the proceeds of loans. The Finance Committee consists of the Vice-Chancellor, two persons nominated by the Visitor, two persons who are not employees of the University, appointed by the Executive Council, two Deans of Faculties by rotation according to seniority for a term of two years. Finance Officer is the Secretary of the Finance Committee.

The university’s finances are mainly met through grants received from various funding agencies under projects and schemes, development grants from UGC and Government of India. The Maintenance and Development grants come from UGC under Non-Plan and Plan respectively. University generates its own resources through students’ fee, income from properties, dairy and agriculture farm, hospital, license fee from shops, sale of Ayurvedic drugs, donations, etc. University maintains its account under four heads:

- (a) General Fund (‘R’ Account) – It consists of Establishment (salary and allowances, retirement benefits and pension) and Non-Establishment expenses (scholarship and stipend, lab

expenses, maintenance of hostel and buildings, electric, water and telephone services, etc.). This is met from grants from UGC, internal receipts and interest on investment of the university.

- (b) Special Fund – It includes (i) Donation for specific purposes, (ii) Deposit funds like GIS, Teachers Welfare Fund, Caution Money, Security Deposit, etc. (iii) Special Fee like game fee, common room, educational tour fee, etc. and (iv) Departmental special (income generating) fund like computer centre, Bharat Kala Bhawan, Entrance Test, Revolving funds of IMS Hospital, Consultancy fee, etc. These funds are utilized only for specific purposes.
- (c) Project Fund – the financial support comes from UGC and other funding agencies for specific purposes like Major/ Minor/ National Projects, Career and other Award, Travel Grant, Seminar and Conferences and Scholarships.
- (d) Development Fund – This includes UGC grant for development under Plan period. This is for buildings, equipment's, infrastructure, introduction of new courses, etc.

The university had adopted the Government of India format based on Double Entry Accounting System as per the guidelines issued by UGC from time to time (BHU Annual Report 2011-12: 192). The Audit, internal as well as external government audit is a part of financial accountability. In this, along with Annual Accounts and Balance Sheets, Bank Reconciliation Statements are also being submitted. The university follows the accrual accounting system as per the guidelines of UGC and MHRD from the year 2014-15. This has led to a more scientific and accountable booking of income and expenditure (BHU Annual Report 2014-15: 193)

The university was facing financial crisis for the past few years due to non-release of adequate funds from UGC/MHRD as per the budgetary provisions approved by the Finance Committee of the University. Hence, the university was forced to curtail its non-establishment expenditure. (BHU Annual Report 2011-12: 192)

Admission Policy, Teacher Recruitment Policy, Research Policy, Faculty Development Policy Admission Policies, Selection Criterion, Entrance Examination

- The admission to all the UG, PG and Research programmes is through an all India entrance test (Under Graduate Entrance Test/Post Graduate Entrance Test /Research Entrance Test). The merit of the candidate in the entrance test is the only factor which is taken into account for admission, thus ensuring full transparency in the admission process.
- The entrance test is widely publicized in national dailies and on the University web-site.
- The admission process form applying to admission counselling is completely online. The successful candidates are called for counselling, are explained everything relating to the University (shown documentary about the University) and given admission based on their online preference and merit.

- At the time of the entrance test, the University allows the candidate to take the question booklet and a carbon-copy of the OMR sheet filled by him/her. The key wise answers to the question booklet are published on the net inviting representations and appeal against the answers, if any.
- The admission to the four colleges admitted to the privileges of the University is through University's Entrance Tests as discussed above.
- The admission process is completely transparent following on-line process and the Central government reservation policy rules are strictly adhered to.

Recruitment Policy- Academic Staff: Announcement/ Notifications, Recruitments, Posting and Promotion

- The university ensures that only the best and highly qualified faculty is appointed for all programmes. Amongst the Indian universities, Banaras Hindu University is the first university to adopt the system of recruitment that is being followed in the IITs.
- University recruitment is governed by the Statute and Ordinances and the appointment to all teaching programs, including new and emerging areas is governed by the same.
- The advertisement to faculty position is widely advertised and University has now adopted the policy of **rolling advertisement** in which an eligible person may apply any time after attaining the minimum eligibility requirements.

**Administrative Staff: Announcement /Notification, Recruitments, Posting and Promotion
Research and Innovative Policy**

The university gives importance to research both by the research students and faculty members. For regulating quality of student research, it has a three tier arrangement:

- i. The Research Degree Committee of the University (RDCU) at the university level is the apex body chaired by the Vice Chancellor. This body not only passes the grace to award Ph.D. degree but also addresses all major issues referred to it by the Departmental Research Committees such as permitting a full-time Ph. D. scholar to pursue a part of his/her research work at a place outside the University, waiving viva-voce requirement in some special cases, extending the maximum period of completion of PhD thesis etc. It lays down quality policies and monitors the quality of research.
- ii. The Departmental/School/Centre Research Committee (DRC/SRC/CRC) at the concerned level is the main body to ensure and monitor quality of research in totality. DRC is constituted by including Head of the Department/Coordinator of the School/ Centre, All Professors of the Department/School/ Centre, One Reader and One Lecturer of the Department/School/ Centre, according to seniority, by rotation every two years and Supervisor and Co-Supervisor (if any) of the concerned Ph. D. Scholar. It permits enrolment, assigns supervisors, approves the topic of research, approves synopsis and thereafter six monthly progress reports of the

scholar, takes pre-submission seminar, permits submission of the thesis, approves panel of examiners etc. In fact, this committee is the main body for quality assurance in research.

- iii. The Research Programme Committee (RPC) is formed separately for each research scholar at the departmental level. It consists of Supervisor of the concerned Ph. D. Scholar as Chairman, Co-supervisor (if any) of the concerned Ph. D. Scholar, a nominee of the Chairman of DRC/SRC/CRC, one expert in the field from the Department/School and one or two experts from an outside Department/School of the faculty. This committee is immediately available to the scholar for research related personalized help, guidance and discussion of issues related to his/her research work.

For promotion of Faculty Research, the University does the following-

- It organizes workshops/ conference/ symposia/ Brain storming session at different Departments to promote a research culture on campus.
- It has a well laid out policy to facilitate researchers of eminence to visit the campus as Adjunct Professors.
- It creates ideal atmosphere and set of rules for promoting faculty research. It gives advances for sanctioned projects. It provides seed money to young faculty for carrying out research, simplifies procedures related to sanctions / purchases to be made by the investigators, give them autonomy for utilizing overhead charges etc.
- The university encourages its faculty to file for patents and for this purpose the University has established a Patent Cell which facilitates filing of patents and other related issues.
- It promotes consultancy work of teachers and has a system in place for this.

Faculty Development Policy

- The University has a well-defined policy to academically recharge and rejuvenate teachers (e.g. providing research grants, study leave, nomination to national/international conferences/seminars, in-service training, organizing national/international conferences etc.
- University provides seed money to newly recruit and the amount of support ranges from Rs. 25000 to Rs. 100000 along with a personal computer, printer and necessary office equipment and furniture to each person. This support is aimed at equipping the faculty members with basic requirements for initiating pilot research in their field of interest.
- Faculty members are encouraged to attend various training programmes, courses, symposia and conferences etc. As per the university policy each faculty can get two deputations (one for national and one for international seminar/conference) in a year. They are also provided financial support for organizing national/international symposia and conferences from the General Development Grant.

Faculty Promotion Policy

BHU being a Central University follows the rules, regulations and guidelines declared by the UGC for promotion of teachers under Career Advancement Scheme (CAS). The Recruitment and Assessment Cell of the University is given the responsibility of recruitment as well as promotion. The Cell is headed by a Joint/Deputy Registrar rank official. The promotion policy as declared by the UGC and approved by the Executive Council is enforced with the Heads of Departments, Dean of Faculties/Directors of Institutes and Vice Chancellor playing the role designated by the UGC.

Special features of University

- BHU has received “**University with Potential for Excellence**” status from UGC.
- It is the only University of India which has Indian Institute of Technology- I.I.T (BHU) on its campus.
- It is a University that has students from 36 nations and the whole of country and faculty members from different parts of India.
- A unique University it has in-house University Works Department, Staff and Student Health Services, Press, Dairy, Agricultural Farm, Horticulture, Sanitary & Support, Electricity & Water Supply Departments that cater to the need of over 30000 students and over 10000 employees and family members.
- It is perhaps the only University that has a 1000 bed Super Specialty Hospital called Sir Sunderlal Hospital. In the UPE scheme, BHU has been sanctioned money to establish a Stem Cell Research and Bone Marrow Transplant Facility at this hospital.
- BHU can boast of a Central Library that has more than 15 lac volumes, 15000 online journals, 50000 e books, databases and a huge collection of digitalized rare manuscripts. It has a cyber-library with 500 seating capacity that works 24x7. The library has a special section for visually impaired students.
- The University now has a Trauma Centre having multidisciplinary departments of Orthopedics, Neurosurgery, Cardiology, Burn Unit, and many others. The 325-bedded trauma centre is even bigger than AIIMS trauma centre. The multi-specialty centre has been financially supported under the Pradhan Mantri Swasthya Suraksha Yojana (PMSSY) and is the result of a tripartite agreement between the Union health ministry, department of higher education and the UGC.
- The University has Bharat Kala Bhavan (BKB) an art and archaeological museum. BKB museum has a collection of about 1.10 lacs items of art and artifacts (the latest proud possession is the Bharat Ratna awarded to Mahamana) and as per international norms a small part of this collection has been displayed in 13 galleries.
- Faculty of Veterinary Sciences has been approved by the Academic Council as well as the Executive Council to be established at R.G.S.C.

- The University has a large number of specialized centers for higher learning and research (especially in emerging areas). Some examples are-
 - Centre for Interdisciplinary Mathematical Sciences supported by DST.
 - Centre for Genetic Disorders supported by DBT.
 - Interdisciplinary School of Life Sciences supported by DBT.
 - Establishment of Trauma Centre under PMSSY.
 - Institute of Agricultural Sciences as Nodal Centre for Agricultural Innovation
- The University has entered into partnership and collaboration with a number of reputed universities e.g.- Partnership under USAID Programme with several US Universities- Cornell, Georgia, Buffalo, UC Davis, Ohio, Tuskegee, Purdue and Illinois.
- The University has received assistance and patronage for a number of Government Departments for furthering research in different fields. Some examples-
 - Strengthening & Development of Agricultural Education by ICAR, New Delhi.
 - Fisheries and Hi-tech laboratories at Institute of Agricultural Sciences by ICAR.
 - The Institute of Agricultural Sciences, BHU has received assistance for creation/seed infrastructure facilities by ICAR.
 - The University has Malaviya Centre for Human Values and Ethics supported by Ministry of Culture.
 - The unique Bhojpuri Adhyayan Kendra along with a Lok-Kala Sangrahalaya.

Profile of the Affiliated College- Vasanta College for Women, Rajghat, Varanasi

Brief History

Vasanta College for Women, Varanasi has a rich legacy of imparting education to women of our country. The College established on 7th July 1913 (older than the University) completed its hundred years in 2013. The College celebrated its centenary year in the session 2013-2014. Professor Hari Gautam, ex Chairperson UGC was the Chief Guest on the occasion of the closing ceremony. The College is admitted to the privileges of Banaras Hindu University and is recognized by UGC under section 12B and 2(f). The College runs UG in 18 subjects and PG in 6 subjects under the Faculties of Arts, Social Sciences, Commerce and Education and research in 4 PG subjects. The present strength of students is approximately 2000.

As per the records of the Theosophical Society, the College was established on 7th July 1913 (The Handbook of the Indian Section of the Theosophical Society, **2000**: 116-117). The College was established by Dr. Annie Besant, leading figure of the Indian national movement and people like Pupul Jayakar, Achyut Patvardhan, S.L.Dhar, etc were associated with this college.

The College started as the Theosophical Collegiate School for Boys and Theosophical Collegiate School for Girls in the Theosophical Society campus, Varanasi. The names of both these schools were changed to the Theosophical National School for Boys and Girls, Banaras in 1917 on the starting of the Society for Promotion of National Education (SPNE). It was affiliated to National

University, Adyar, Chennai. The Girls School became a High School in 1920 and in 1922 it became an intermediate college and was known as Theosophical National Girls School and Women's College, Benares. Since 1923, the schools and colleges started sending pupils to the Allahabad University and later from 1948 to Banaras Hindu University. When Rishi Valley Trust was founded in 1928, these institutions were transferred to it. The Girls College in 1940 or 1941 came to be known as the Vasanta College for Women as a mark of gratitude to Dr. Annie Besant, the founder of the College. The College was running B.A. classes, the first batch of girls appeared in B.A. examination as regular students for the first time in 1948.

The College was shifted to the present campus of Rajghat on the banks of river Ganga in the year 1954, though the building and the land were purchased way back in 1928. The geographical location at the confluence of river Ganga and Varuna has a unique historical significance. Rajghat happens to be the second oldest inhabited place of Varanasi dating around 8th century B.C. The nearby historical sites are the ASI excavated site of Rajghat, Lal Khan's Tomb (medieval period), Adikeshav temple (one of the site of 1857 revolt) and Ghat, Chandan Shaheed Mausoleum. The area of Rajghat has an intellectual heritage of its own. Lord Buddha passed through Rajghat crossing river Varuna to reach Sarnath and delivered his first sermon. Secondly, this place was blessed by the philosophical dialogue of Sri J. Krishnamurti, the Socrates of modern times.

The building of the College and its sister organizations have an architectural features of the British period. The College office, the Study Centre and the Sangam House (Principal's residence) were occupied by the British engineers who constructed the railway bridge (Dufferin Bridge now called Malaviya Bridge) over Ganga in the year 1897. These buildings along with the land were acquired in 1928.

The College is a major higher education institution for women catering to the students of different states of India like Bihar, Uttarakhand, Rajasthan, Madhya Pradesh, Assam, Manipur, Tripura, Mizoram, Kerala, Arunachal Pradesh, West Bengal, Jharkhand, Chhattisgarh, etc. The minorities specially the Muslims study in significant number in this institution. This College has the unique distinction of having students studying who are third generation of their family. It runs under the aegis of Krishnamurti Foundation India, a world renowned Foundation devoted to the cause of education. It tries its best to impart education based on J. Krishnamurti's teachings – individuals to excel not only in academic but also in co-curricular activities. This college has a mission to make the women self dependent having an objective mind to understand our own culture but with a modern view imbibing human values. It strives to work in an atmosphere where there is no fear, no authority, only love, affection and good relationship, which is the core of Krishnamurti's philosophy.

Vision of the College

“... Educational advance among women is the only means to social reform... the treasures of philosophy, literature, science; art must be thrown open to her as to men. ... Women's wisdom as well as men's is needed to dig deeply and build strongly the foundations of the New India.” These

words of our founder Dr. Annie Besant reflect the commitment of this Institution towards women education as the cornerstone for making a strong and vibrant India.

Mission of the College

This college has a mission to make the women self-dependent having an objective mind to understand our own culture but with a modern view imbibing human values.

- To work in an atmosphere where there is no fear, no authority, only love, affection and good relationship, which is the core of Krishnamurti's philosophy.
- To prepare 'Individuals' as responsible 'Citizens' of the 'World' and to impart real 'education' as envisioned by Shri J. Krishnamurti, to think objectively, creatively and without fear.

Courses and Programmes Currently Being Offered: The College, as already written is academically affiliated to BHU and as such teaches some of the courses offered by the University. Table given below provides a summary picture of the courses taught, sanctioned student strength and number of students admitted:

Table 3.7 Courses and Programmes Currently Being Offered, 2016-17 and No. of Students

Name of The Programme /Course	Sanctioned /Approved Student Strength	No. of Students Admitted
B.A. (Honours) in Arts (English, Hindi, Urdu, Sanskrit, AIHC, Music(I), Music(V), Painting, Philosophy, Home Science and Geography)	330 + Paid Seat 15%	305
B.A. (Honours) in Social Science (History, Pol. Science, Psychology, Sociology and Economics)	169 + Paid Seat 15%	195
B.Com (Honours)	77+ Paid Seat 15%	89
B.Ed.	50+ Paid Seat 15%	55
M.A.	30 each + Paid Seat 15%	English 32, Hindi 32, Geography 26, History 33, Psychology 33, Economics 34
Ph.D.(English, Hindi, Psychology, Economics)	Through BHU	43
1 year Certificate in Travel & Tourism Management & Mass Communication	40 each	32 in Mass Communication and 12 in Travel and Tourism Management
1 year Diploma in Travel & Tourism Management & Mass Communication	40 each	23 in Mass Communication and 09 in Travel and Tourism Management
1 year Advance Diploma in Travel & Tourism Management & Mass Communication	40 each	10 in Mass Communication and 04 in Travel and Tourism Management

Approved Research Centre

J. Krishnamurti Study Centre was established in the college under UGC Scheme of Epoch Making Social Thinkers of India (XII Plan) in the year 2014-15.

Number of Programmes offered under

- a. Annual system : 02 (Certificate/Diploma/Advance Diploma Courses)
b. Semester system : All UG and PG Courses.

Choice Based Credit System

The college as per the norms of the university follows CBCS System at both UG and PG level. The Certificate/ Diploma/ Advance Diploma courses are credit based and Grades are awarded but all the courses are core. The university is gradually moving towards full CBCS system with greater choice being given to students to choose the courses from within the faculty and outside the faculty.

NAAC Accreditation

College was accredited for the first time with B+ in January, 2004. It was valid for five years till January 2009. The college applied for re-accreditation in November 2014 by submitting LOI (Letter of Intent), SSR (Self Study Report), AQAR (Annual Quality Assurance Report) to NAAC, Bangaluru. The college was re-accredited with CGPA 2.63 on four-point scale at B Grade on 20 November 2015 valid till 20 November 2020.

Faculty and Staff strength

Number of teaching and non-teaching positions in the Institution

Table 3.8: Details of Teaching Staff (2016-17)

Positions	Teaching Faculty				Non-teaching staff		Technical staff	
	Associate Professor		Assistant Professor					
	*M	*F	*M	*F	*M	*F	*M	*F
Sanctioned by the UGC/University/ State Government & Recruited	04	23	13	18	22	02	07	03
Vacancy	-	-	01		-		01	
Sanctioned by the Management & Recruited	-	-	-	-	01	01	-	-

*M-Male*F-Female

Number of Visiting Faculty/Guest Faculty engaged with the College: **16**

Table 3.9: Details of Teaching Staff- Sanctioned, Filled and Vacant (2016-17)

S. No.	Name of Departments (in alphabetical order)	Number of Sanctioned Posts	Filled	Vacant	Remarks
1	AIHC & Archaeology	03	02	01	
2	Economics	04	04	-	
3	Education	08	08	-	
4	English	05	05	-	
5	Geography	04	04	-	
6	Hindi	04	04	-	
7	History	04	04	-	
8	Home Science	03	03	-	
9	Music Instrumental	02	02	-	
10	Music Vocal	02	02	-	
11	Painting	02	02	-	
12	Philosophy	03	03	-	
13	Political Science	03	03	-	
14	Psychology	05	05	-	
15	Sanskrit	02	02	-	
16	Sociology	02	02	-	
17	Urdu	02	02	-	
Temporary					
18	Commerce	06	06	-	Self-Finance Course

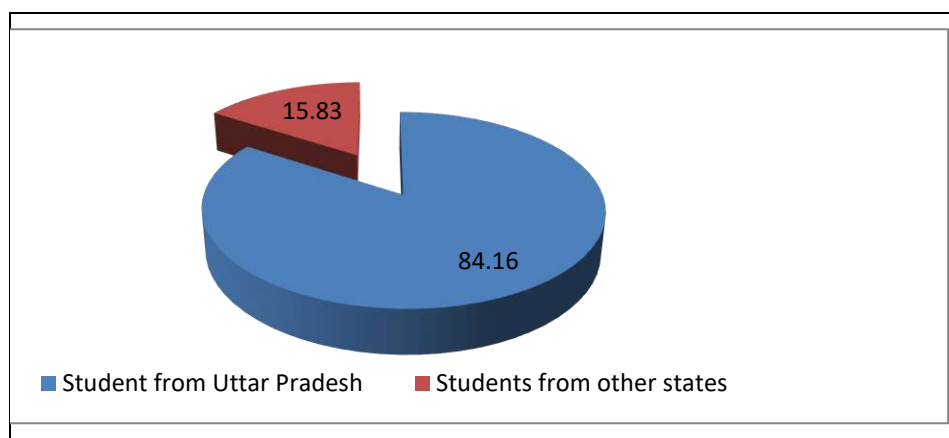
Table 3.10: Qualifications of the Teaching Staff (2016-17)

Highest Qualification	Professor		Associate Professor		Assistant Professor		Total
	Male	Female	Male	Female	Male	Female	
Permanent teachers							
Ph.D.	-	-	02	23	10	15	50
M.Phil.	-	-	01	-	01	01	03
PG	-	-	01	-	02	02	05
Temporary teachers							
Ph.D.	-	-	-	-	04	02	06
Part-time teachers							
Ph.D.	-	-	-	-	01	-	01

Table 3.11: Students admitted in 1stYear (Category wise) during 2016-17

Category	Under Graduate (B.A., B.Com. & B.Ed.)	Post Graduate (M.A.)	PhD Total till date	Total
General	311	103	10	424
SC	94	30	08	132
ST	20	07	03	30
OBC	163	40	16	219
Minority	53	09	03	65
PH/PC	03	01	03	07
Total	644	190	43	877

Chart 3.2: Distribution of Students (UP & Other States) in the College



Unit Cost of Education

(Unit cost = total annual recurring expenditure (actual) divided by total number of students enrolled)

(a) Including the salary component

Rs. 30580.00

(b) Excluding the salary component

Rs. 461.00

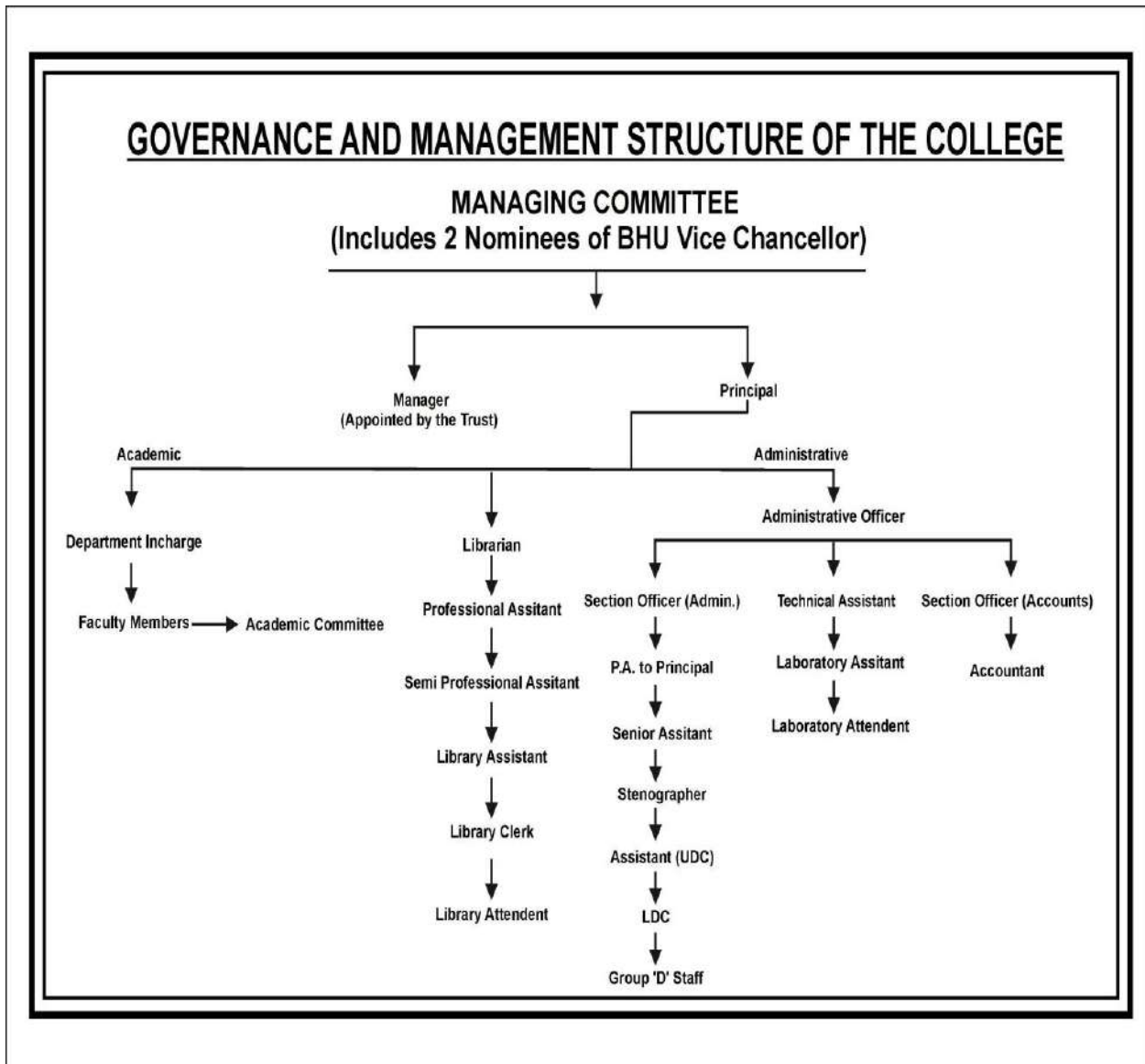
Table 3.12: Teacher-student ratio for each Honors and PG Course (wherever applicable)

S.No.	Department	Teacher Student Ratio
1	English	1:48
2	Hindi	1:42
3	Sanskrit	1:23
4	Urdu	1:23
5	A.I.H.C. & Arch.	1:40
6	Philosophy	1:30
7	Painting	1:15
8	Music Vocal	1:15
9	Music Inst.	1:15
10	Home Science	1:50
11	Geography	1:53
12	Economics	1:40
13	History	1:40
14	Political Science	1:33
15	Sociology	1:50
16	Psychology	1:35
17	Education	1:13
18	B.Com. (Honours) (under Self Financing)	1:40

Governance and Management

There is no notion of ownership as such in the college. The college is ‘Admitted to the privileges of Banaras Hindu University (BHU)’. Thus, the college is affiliated to BHU and the affiliation is permanent for all the regular courses. The college runs under the aegis of Krishnamurti Foundation India (KFI), an internationally known organization in the field of education. It is centrally funded-receiving 95% grant from UGC (since 01.04.2007) and is recognized by UGC under section 12B and 2f. The college is expected to follow all the rules and regulations of the Central Government/ UGC/ BHU.

Chart 3.3: Governance and Management Structure of the College



Managing Committee and College Administration

The Managing Committee of the college has 19 members. The Principal, Manager and six members of different units of Krishnamurthy Foundation of India including Finance Officer, 02 University Representatives nominated by the Vice Chancellor, 02 Teacher Representatives, 01 SC/ST Teacher Representative, 05 eminent educationists and Superintendent of College Hostel (*Vasantashram*) are represented in this Committee. This committee is the final authority ratifying all matters related to appointments, promotion, and administration. The meeting of the Managing Committee is generally held once in the Semester.

The academic administration of the college revolves around the Principal. All decisions are taken by the Principal in consultation with other members of the various committees constituted

for different purposes. The Manager is consulted in all urgent matters. The College till date has Managers who have been educationists or renowned scholars. The college has an Academic Committee having senior faculty as members to deliberate on all academic matters.

The college abides by the decisions of the Academic Council and Executive Council of BHU. The Principal of the College is a member of the Academic Council and attends all its meetings.

Governance structures, legislations, rules, procedures, processes

The Principal is the pivot and motivational force in designing and implementation of quality plans and policy. IQAC cell strives for quality in all spheres – academic, administrative etc. & tries to involve all the stakeholders of Higher Education for quality sustenance. The plans which are chalked out are implemented with proper monitoring by IQAC. The Principal and IQAC cell is continuously involved in providing leadership in all the spheres of college. Almost all stakeholders especially students and teachers are consulted in planning at various levels. IQAC is functional for monitoring of quality at all levels. IQAC with two representatives from each faculty – Arts, Social Science, Commerce and Education & other external experts is constituted as per UGC/NAAC guidelines. It regularly meets to monitor and evaluate policies and plans of the institution for effective implementation and improvement from time to time.

The institution adopts the Government, UGC norms to monitor and evaluate policies and plans of the institution for effective implementation and improvement from time to time. The decisions are taken in accordance with the rules/directives of UGC, NCTE and BHU. Policy matters are decided at the level of Principal/Managing Committee of the college. A college Planning Board as per UGC directive was constituted for planning and passing of XII plan requirements. The college delegates authority and provide operational autonomy to the departments / units of the institution and work towards decentralized governance system.

Each department prepares its own requirements as per the needs of the curriculum and discusses it at department level, for example for Plan periods. It is passed on to the concerned committee/cell for further action. IQAC takes note of all requirements/suggestions of each department and discuss it thoroughly in IQAC meeting and suggest substantive actions for implementation. Academic decisions are taken at department level for internal examination, Guest lectures, Extension activities, etc. The college does promote a culture of participative management. The teachers are involved in the works of various committees of the college. Teacher Representatives are there in the Managing Committee of the college. The senior most teacher of each department is a member of the Selection Committee of that department. IQAC has also two senior faculty members from each faculties of the college.

The affiliating university makes a provision of autonomy to all the affiliated colleges. BHU provides full autonomy in administrative and financial matters to the affiliating colleges. The affiliation has more to do with academic matter. Hence, the admission to various UG, PG and Research courses are done through BHU entrance examination. The faculty members of the college are closely associated in the admission counseling and admission related work in the

respective faculties for almost 15-20 days in each academic session. The University also involves the colleges at various levels of academic functioning within the Faculty and Departments, for example, involving them in curriculum design and revision, preparing new course structures, setting examination papers, invigilation and evaluation during university examination, etc. The other one is to provide guidance and mentoring to them by helping them frame syllabi, providing course guidelines, etc.

The BHU Act, Chapter I, Article 36 (3) makes provision of inspection of colleges at least once every year by a committee appointed by the Academic Council. The report of the Committee is to be submitted to Academic Council which shall forward it to Executive Council with its recommendations. The Executive Council shall forward a copy of the report to the Managing Committee of the college with such remarks, if any, as it may deem fit, for suitable action. Such inspections are not held annually. In my service of almost two decades, the inspection team has visited the college only thrice and that too when the college had requested for starting PG courses in certain subject.

Finance

There exists an institutional mechanism to monitor effective and efficient use of available financial resources. The college follows the Account rules and Purchase rules as per the University rules which follow General Financial Rules-2005 of Government of India as amended from time to time. The Finance Committee of the college monitors effective and efficient use of available financial resources. The college has a mechanism for annual internal audit through registered Chartered Accountant. The Government audit was being done regularly on annual basis till 2006-07 when the colleges under BHU were under dual funding system- 47.5% from UGC and 47.5% from UP Govt. Since 1st April, 2007, all four colleges under BHU are receiving 95% maintenance grant from UGC and 100% retirement benefits (pension, etc.) directly from UGC.

Annual Budget of the College

The Budget of the College is prepared under two heads:

1. **Plan:** The XII Plan Budget for the College was prepared as per UGC Guideline and passed by the College Planning Board constituted as per the Guidelines of UGC. The items include Basic Development Grant for Books and Journals, Equipment, Instrumentation Maintenance facility, Construction / Extension / Renovation of Building, improvement of Existing Premises, Competence building initiatives in College, Cultural Activities, Educational Innovation, Field Work/Study Tours, Extension Activities, Improvement of facilities in existing premises – common room and toilet facilities for Women, Establishment of Day Care Centres in College, Human Rights & Duties Education, Career and Counselling Cell, ICT in Education (PCs for Students, Research Scholars & Teachers).

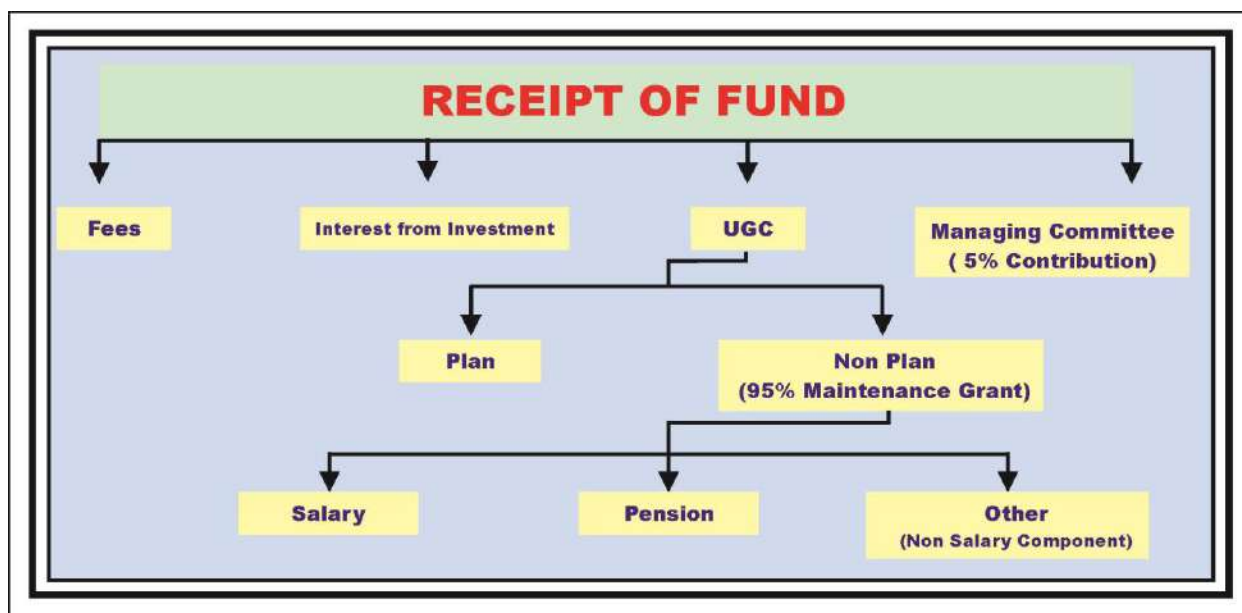
The College has not yet received any grant from NRCB, UGC under XII Plan perhaps due to resource crunch or slashing of the budget of UGC by Central Government. (This was the status

as on 30th September 2016). College received a grant of Rs.10.40 lakhs in December 2016 after continuous follow up of the matter at NRCB, UGC, Delhi.

2. **Non-Plan:** This is prepared every year in the format given by the UGC under FORM A, B, C, D, E, F, G and H. The components are the Salary, Pension and Retirement Benefits and Non-Salary Items.

The Budget estimate for the Financial Year is prepared by the team consisting of Principal, S.O. (Administration), S.O. (Accounts). IQAC Cell was consulted earlier before preparing the Budget till 2015-16 but this has been discontinued from 2016-17. The Budget estimate for Financial Year 2015-16 is again revised before the end of this Financial Year and the revised estimate for 2015-16 are prepared and a Budget estimate for next Financial Year 2016-17 is prepared. The Finance Committee of the College consists of the Principal, Manager, Secretary of the Trust (KFI) at Rajghat Varanasi, one senior teacher of the college, Administrative Officer, Section Officer (Accounts). There was no record of any meeting and its minutes available in the college. The Principal, Manager, AO and SO (Accounts) play an important role in purchases and financial matters of the college on day to day basis. The revenue of the college comes mainly from UGC.

Chart 3.4: Receipt of Fund into College



Public Financial Management System (PFMS) was recently introduced by the Central Government. UGC vide its D.O. No. F. No. 1-5/2013- IA/DBT dated 10.04.15 and F.26-1/2015 (SA-III/PFMS) dated 10.02.2016 asked all colleges receiving grant from UGC to register on PFMS portal at the earliest as all sanction/disbursement of grant from UGC w.e.f. 01-04-2016 will be through PFMS. ‘PFMS is envisioned to track the fund disbursement from Government of India to various levels under all Plan Schemes till the last level of utilization and in due course monitor utilization under these schemes at different levels of implementation on a real time basis. The main purpose of PFMS is to establish an efficient fund flow system and expenditure network.’ The

students receiving UGC Fellowship in the college were also brought under the PFMS. The funds are being transferred directly to the beneficiary account under **DBT (Direct Benefit Transfer)** scheme. The college successfully got itself registered under PFMS.

Admission Policy

The admission to all UG, PG and Research courses running in the college are done through entrance examination conducted by BHU at all India level. The reservation policy of the government of India (SC, ST, OBC-Non Creamy Layer, and PC) is strictly adhered to by the university and trickles down to the college. There is an Admission Committee of teachers who are deputed to work in various faculties and departments of BHU at the time of counseling and admission of UG and PG courses. In case of Research, the students are selected by the respective faculty/ department as per the university norms and are sending to various colleges for admission and supervision under a supervisor. The college teachers are not involved in their selection and admission process. The pre-PhD course work for all the research scholars is conducted at the university level. The admission to Certificate/Diploma courses running in the college are done at the college level through merit, that is, marks obtained at the qualifying examination. These courses are also open to regular students of other colleges which are recognized by UGC.

Recruitment Policy

The college follows the UGC rules and regulations in the appointment of teachers and Principal. The posts are advertised by the Principal on an all India basis in Employment News and leading national newspapers. The Selection Committee is constituted as per the latest norms of UGC/BHU. The name of the External Expert, Internal Expert, VC Nominee, and SC/ST Representative are provided by the Recruitment and Assessment Cell, BHU in case of all new Direct Recruitment and also for CAS promotion. The college is represented by the Principal and the Manager or his nominee. The short listing of candidates is done on the basis of good academic record as specified by BHU and the API scores as specified by UGC Regulations. In case of non-teaching posts, the role of the university is negligible. The posts are again advertised on an all India basis as stated above. The written test, skill test/ computer proficiency test (wherever applicable) and interview are conducted at the college level. The interview board constituted for the last recruitment done in 2015 included Principal, Manager, Finance Manager, Senior most teacher, IQAC Coordinator, one of the VC's Nominee in the college Managing Committee (as representative of the BHU/VC and also SC/ST Cell of BHU) and College Librarian (in case of posts of library). The Central Government rules regarding reservation as per the roster system is followed in the college.

Research and Innovation

The college has a Committee for Excellence in Research with a senior faculty member as its coordinator. The Committee has all faculty members of PG departments as its member. The Committee's main function is to monitor the research work of PhD students and Dissertation work of MA students. The PhD scholars are required to make a presentation (preferably Power Point) every semester in their respective departments.

The faculty members are encouraged to apply for Minor and Major Projects funded by UGC, ICSSR and other funding agencies. Four teachers are presently engaged in projects- 01 Major Project (UGC), 01 Minor Project (UGC), 01 Minor Project (ICSSR) and 01 in the present National Project of NUEPA. The faculties are empowered to take up research activities utilizing the existing facilities.

Curriculum

The college has a limited role in curriculum designing and development. Some of the faculties like Education do invite the teachers of the college in meetings called for this purpose while majority of the departments/ faculties do not call the teachers from colleges. The role of the college is confined to curriculum planning and implementation within the framework provided by the university. The college does the same keeping in mind its institutional goals, vision and mission. Holistic development of the students is the main aim of the curriculum. College tries to provide vocational courses to students as add on courses under UGC Career Oriented Course – Travel and Tourism Management and Mass Communication. The value education through a six-month Certificate Course on J Krihnamurti began from the session 2015-16. To sensitize the students on issues like gender, environment, human values, human rights, etc., the students are exposed to extension lectures by experts, workshops and seminars.

Challenges

There are a number of challenges being faced by the college. The central government grants for projects and seminars, etc. are not forthcoming since last financial year. There is a slash in the Plan grant too. There is a delay in the release of the quarterly maintenance grant sometimes which makes the payment of salary and pension difficult and deferred to the next month. The Government audit which is a part of good governance is not being done in all the colleges of BHU since 2007. These colleges were earlier under dual funding system and used to get 47.5 % grant from UP government and same from UGC and the UP government used to get the audit done. These colleges are now being directly funded by UGC but the GPF of the employees is still being deposited in the treasury of the UP government. The non-teaching posts vacant due to retirement/death/resignation etc. requires the sanction from UGC to fill the posts (Earlier prior to 2007, the permission was taken from Director Higher Education, Government of UP). UGC generally delays in giving sanction to fill the vacant posts.

Summary

In the era of liberalization, privatization and globalization (LPG), the role of state is shrinking and the market forces are playing a vital role, the education sector especially the higher education needs to re-think its strategy in terms of fund/resource mobilization, the role of government and other stakeholders needs a re-thinking. Banaras Hindu University being a Central University and an Institution of National Importance also faced resource crunch as reported in Annual Report 2011-12. The university has a huge academic and administrative structure- EC, AC, Court, Financial Committee, Faculties, etc. as discussed above. The financial management is through proper

accounting system and audit. The Admission process is transparent, online and is socially inclusive following the reservation policy of the government of India. The recruitment of teaching staff is through rolling advertisement and follows the UGC regulation in appointment. The Reservation policy in recruitment through proper roster is followed. University is trying its best to implement CBCS.

The college is admitted to the privileges of Banaras Hindu University. The college has UG, PG and Research whose admission is through BHU Entrance test conducted on an all India level. The college is funded by UGC and hence follows all the norms of UGC/BHU and Central Government in recruitment of teaching and non-teaching staff, promotion, reservation, etc. A vibrant IQAC is a must to bring good academic governance at university as well as college level and much need to be done regarding this. The Managing Committee is the highest decision making body in the college but it hardly meets once or twice in a year. For all practical purposes, the Principal is the prime administrator and the whole academic, financial and administrative machinery revolves around him/her.

The College has a perspective plan, strategic goals for development. Certain aspects are paramount in deciding development goals:

- Achieve academic excellence through quality teaching and research.
- Encourage inter-disciplinary teaching and research.
- Foster a culture of dialogue, deliberation and discussion- the art of asking pertinent and relevant question.
- Strive towards community development by various extension activities.
- To enter into MoUs with more colleges and universities for exchange of faculties and students for enhancement of knowledge and it's sharing.
- To increase the scope of Internship and Summer Training for students.
- To strengthen the campus placement for students.
- To provide more add on courses at UG level.

Chapter 4

Institutional Autonomy and Decision Making

Introduction and the Contours of the Study

Nations, the world over are striving to create an appropriate governance system for higher education that could ensure quality education and also lead to equity, access and reach. Creating successful universities other things included, requires a supportive governance structure in which universities or colleges have autonomy to achieve objectives with appropriate level of accountability (Raza, 2009). For considerable time governments have played a dominant role in management of higher education for the simple reason that beyond the considerations of efficiency and quality, equity concern remained crucially important for them. The realization that even under perfect market competition, equitable outcomes rarely occur (Teixeira et al, 2004) and the market failure resulting from externalities, information asymmetry and private monopolies all make things worse, have collectively deterred governments from granting autonomy to institutions.

The era of massification of higher education, the neo-liberal mind-set and experience that governments too fail and at times fail miserably, have in recent times, compelled the policy makers to think in terms of granting autonomy to institutions. It is being increasingly felt that it is time that higher education shifts from being state controlled to state supervised systems (Fielden 2008). The need for autonomy has been attributed to the multifaceted goals of the academia and its unique responsibility to create knowledge, engage in critical analysis and transmit a cultural heritage to succeeding generation (Carnegie Foundation, 1982 Duderstadt, 2000). Institutional autonomy does more than ensure outputs and quality. It also serves to insulate higher education from politicization and ideological manipulation, reinforcing a view of the higher education space as 'off-limits' to violent or coercive force. Autonomy therefore has a protective function, safeguarding higher education institutions and personnel against attacks by state and non-state actors. The key policy question, however remains getting the right balance between autonomy and accountability of universities (Fielden 2008), (Salmi, Jamil 2008) with too much accountability always being questioned and treated counter-productive (Lao and Saint, 2008).

Meaning of Autonomy

Institutional autonomy essentially is the "...degree of freedom of the university to steer itself" (Askling et al., 1999:177; Marton, 2000: 23f, quoted in Bladh 2007:20) or alternatively the "...condition where academia determines how its work is carried out..." (Neave & Van Vught, 1994: 295 quoted in Bladh 2007: 20). Essentially, institutional autonomy means that the state increasingly exits from the day to day management of the tertiary sector allowing universities to determine their own path. Underlying the notion of autonomy is to encourage the institutions to have the freedom to make choices, given in an ideally existing market driven incentives.

Institutional autonomy is distinguished into two (1) substantive autonomy and (2) procedural autonomy (Berdahl 1971:10-12)

1. Substantive Autonomy covers two spheres- (a) Academic and (b) Administrative. Academic Autonomy is the freedom granted to institutions to decide academic issues like designing curriculum, instructional material, pedagogy, research policy, awarding degree, process of admission and techniques of students' evaluation etc. Administrative Autonomy is the freedom from bureaucracy and political ideology of the ruler and right to manage the institutional affairs in a way to stimulate and encourage initiative and development of individuals working in the institutions.
2. Procedural Autonomy covers the non-academic areas which overlap with many financial matters. It is the freedom to the institution to expend the financial resources at its disposal in a prudent way keeping in view its priorities. Issues related to financial autonomy of higher education institutions range from the understanding of its conceptual framework to the modalities of its operationalization.

There is increasing realisation that autonomy is important for higher education system to flourish. Fielden (2009: 2) clearly mentions, "it is being recognized that the state is not the best arbiter of how individual universities should operate. The management of very complex academic communities cannot be done effectively by remote civil servants, and the task should be left to institutions themselves. Giving them autonomy recognizes that their management needs are different and allows them full exercise of their academic freedoms. The constraints of centrally managing a system that needs to be flexible and responsive have become clear." Governments after realizing the fact that autonomy to higher educational institutions is a *sin-qua-non* for their success, have been debating the extent, mode and phases in which such autonomy is to be given. A conclusive opinion has not been formed and variables that have led to the success or failures of experiments with autonomy have not been unequivocally identified. The 'ideal model of autonomy' is still elusive and it is this that has encouraged us to evaluate and see how the model implemented for Asia's largest residential university; Banaras Hindu University (BHU) has worked.

The Present Study

Any attempt to evaluate how and to what extent a Central University like BHU has been granted autonomy and how far the stakeholders make productive and effective use of the autonomy enjoyed by them necessarily requires us to understand three things-

- First, while across the board governments which fund education, have been rather naïve and conservative in granting autonomy on procedural issues, in case of substantive issues, they have been more generous. They have followed either one or a combination of the following three models of governance and autonomy of HEI (Fielden, 2008):
 - a. Delegation from centre to lower tiers of government,
 - b. Delegation to a specialized buffer body, and
 - c. Delegation to the academic institution themselves.

In case of Central University system in India, it is a combination of the second & third that is in use. The MHRD has created buffer bodies like UGC, AICTE, ICAR, MCI, NCTE, BCI etc. that enjoy control over Universities in different spheres and different degrees and then the Central University themselves who have been given the power to take many academic, administrative and financial decisions. It is in this light that institutional autonomy and decision making in BHU has to be understood.

- Second, the University autonomy functions at three levels:

Autonomy of the university system as a whole, including the UGC and the IUB, in relation to agencies and influences outside that system, the most important of which are the central and the state governments



Autonomy of a university in relation to the university system as a whole, e.g., The autonomy of one university in relation to another, or in relation to the UGC and the inter university board (IUB);



Autonomy Within A University, e.g., Autonomy of the departments, colleges, teachers and students

As we venture to understand the institutional autonomy and decision making in BHU, we limit our attention to the first two and for brevity and remaining focused on BHU ignore the third one that is more relevant if one understands the economy from the macro perspective.

- Third, we talk about both substantive & procedural autonomy and analyse these two from the perspective of top management of the University (Vice Chancellor, Registrar and Central Registry), Middle Level functionaries i.e. Directors of Institutes and Deans of Faculties and Lower Level Participants i.e. members of faculty and students.
- Fourth, the whole issue is being analysed from the purpose of the University and the chosen affiliated college Vasanta College for Women to have a better picture.

It is against this backdrop that we now proceed to discuss Institutional Autonomy and Decision Making at BHU

Institutional Autonomy and Decision Making in BHU: The Present Status

Banaras Hindu University, the largest and the first truly residential university of India enshrines within its precincts a phenomenal range of faculties incorporating diverse disciplines. The task of governing this huge university consisting 5 Institutes, 16 faculties, 132 Departments, a Mahila Maha Vidyalaya (Women's College), 4 affiliated colleges, 5 interdisciplinary schools, a trauma centre 3 times the size of AIIMS trauma Centre, 1400 plus bed hospital, over 35000 students, 1700 faculty members and 5000 support staff, is by any stretch of imagination, gigantic.

The University came into existence as per the Banaras Hindu Act (**Act No. XVI of 1915**) as amended from time to time and is governed by the said Act, Ordinances and Statutes. As per the Act, the President of India is the Visitor of the University with the powers to appoint the Vice Chancellor on the recommendation of Selection Committee, supervise the working of the university and also annul any proceeding of the University which is not in conformity with the BHU Act, the Statutes or the Ordinances. With the Visitor at the apex, there is a governance structure for proper functioning of the University. The autonomy of the University system as a whole and powers and autonomy of the different functionaries both flow vertically, based on the structure which is pictorially presented in **Chart 3.1** of the previous chapter.

The BHU Act gives enormous power to the Vice Chancellor. He is the principal executive and academic officer of the University, takes rank next to the Chancellor and exercises general supervision and control over the affairs of the University and gives effect to the decisions of its authorities. He is the *ex-officio* Chairman of the Executive Council, the Academic Council, and the Finance Committee and, in the absence of the Chancellor, presides at any convocation of the University for conferring degrees and also at any meeting of the BHU Court. It is the duty of the Vice-Chancellor to ensure that the provisions of BHU Act, the Statutes, the Ordinances and the Regulations are duly observed (BHU Act, Chapter-I, Para-7C). The Vice Chancellor runs and guides the affairs of the University with his team comprising of Rector, Registrar, Joint/Deputy/Assistant Registrars, Finance Officer etc. as per the provision of the Ordinances and Statute modified from time to time. On all academic affairs, the Academic Council which has representation from teachers of the University is entitled to take decisions which are to be endorsed by the Executive Council.

The internal autonomy question can be analysed from two different perspectives- first, provisions as mentioned in the ordinances and statutes of the University and second, the extent and manner in which these are actually implemented in the University. Notwithstanding the fact that the Ordinances & Statutes are in a way Constitution of the University and as such the provisions therein should reflect the extent to which autonomy is granted and governance is shared, the real story might differ based on the interpretation of the same and desire and willingness of the top management to follow them in letter and spirit. Any discussion of the autonomy based on Ordinances & Statutes shall give a write up technical acceptability but might take it away from the ground reality. Thus, the present chapter attempts to analyse the autonomy issue from the perspective of all those who are involved in delegating autonomy and also those finally exploiting

it. Thus we take up the autonomy issue from the perspective of the administration and also faculty members and students.

As the dimensions of academic, administrative and financial Autonomy are very vast and it is neither possible nor necessary to cover all, we have chosen some dimensions as test case to draw general conclusions about institutional autonomy & decision making process. Table given below lists dimensions that we have adopted-

Table 4.1: Dimensions of Autonomy Examined and Reported

S. No.	Aspects of Institutional Autonomy		
	Academic	Administrative	Financial
1	Designing Academic Programs & Curriculum	Involvement in Governance Processes, Committees etc. at the University Level	Financial Regulation, Control and Scrutiny
2	Deciding Teaching Style, Instructional Material & Pedagogy	Shared Governance at the Department/Faculty/ Institute Level	
3	Control over time, Determination of Work Load	Environment of and Freedom in Pursuing Career Development	Purchase Systems and Procedures
4	Choice of Doing Research, Collaboration and Twining	Existence of Grievance Redress System	

We now move on to systematically analyse the autonomy and decisional making question in a systematic way-

Academic Autonomy

The University as a centre for higher education has the responsibility to create an environment in which the originality, creativity, intellectual honesty and integrity of teachers help guide the taught in the way it should.

Designing Academic Programs and Curriculum

The University follows a decentralised system for designing academic programmes and curriculum. There are primarily two kinds of Programmes that the University runs-

1. Those for which an external regulator monitors and controls the courses, syllabi, admission and evaluation system e.g. for Institute of Medical Sciences it is MCI, for Faculty of Education it is NCTE etc. Here, the University system has limited or no autonomy in designing academic programs and curriculum. Senior faculty members who are associated with the regulators' advisory committees can play a role indirectly and remaining faculty members can participate in discussion forum.
2. Those for which the external regulator does not exist like Faculty of Arts/Science/ Social Sciences etc. In this case as per the provision any teacher of the concerned Department who wants to introduce a Programme can bring such proposal in the Department Council (in which all teachers are members). If the members are convinced about the quality, use and saleability of the Programme then detailed syllabi is prepared and is presented in the Board of Studies (all

the teachers of the Department are members and in addition it has two external experts) meeting. After approval it goes to the Faculty Board of Studies, Academic Council and then the programme is introduced. The Faculty Board of Studies comprises of all the Professors of the Faculty concerned (from all departments of the Faculty) and Senior Most Associate and Assistant Professors. The Faculty BoS primarily ensures that the new programme/course proposed is in tune with the declared vision and plan of the Faculty, the level is at par with the courses being taught in reputed institution and the level set by the Faculty, the department concerned has the necessary human resource and infrastructure to run the course etc. For bringing any change in the syllabi of existing Programmes, the change is suggested by the teacher concerned and approval of Board of Studies only is required.

Theoretically, the system is fair enough but primarily there are three issues involved:

1. The way the system is practiced depends on the Head and Policy Planning Committee (each department has one in which the Head and two most senior teachers are members) of the Department. If they are not convinced/not interested, teachers are discouraged from introducing programs/courses. Of the three faculties in which this system was in vogue, while members of one suggested (geography) that their repeated request for introducing new courses and change in the content was not entertained by the Head the teachers of other two spoke in affirmative. Hence, ultimately it boils down to the level of the Head. Around 48.9 % of the faculty members interviewed said that they have only to a limited extent control over program and courses, 20% rued that they do not have any say. What is unfortunate, however is, there is no way teachers could prevail over the head and no mechanism that can force the Heads to extend to teachers the autonomy that the system gives to them.
2. The whole process of introduction of a new program and change in content is lengthy and time consuming and often intervention and control by the seniors or higher authority (Faculty board of Studies/Academic Council) negate the proposal. This proves very discouraging and the autonomy given is proven to be of avail.
3. The University like some other Universities has not given complete autonomy to teachers to teach any course that he/she finds fit, fix an evaluation system and pedagogy. Demand for complete autonomy though seems fair yet impractical for this huge university where without some regulation on the part of the Department/Board of Studies maintaining quality standard would be difficult.

Deciding Teaching Style, Instructional Material and Pedagogy

Teachers of the University enjoy full autonomy in choice of teaching style, instructional material and pedagogy. Obviously the University gives complete autonomy to teachers as regards the choice of teaching style, pedagogy and instructional material. The Departments in an informal manner in Arts, Science & Social Sciences develop certain dos and don'ts for teachers but there are no restriction for using any particular method (e.g. seminar, discussion, case study, practical,

community exposure). The faculty members were asked questions about the extent to which they enjoyed autonomy and Chart-4.1 given below presents their satisfaction level:

Chart 4.1 a: Status of Autonomy in Teaching (University)

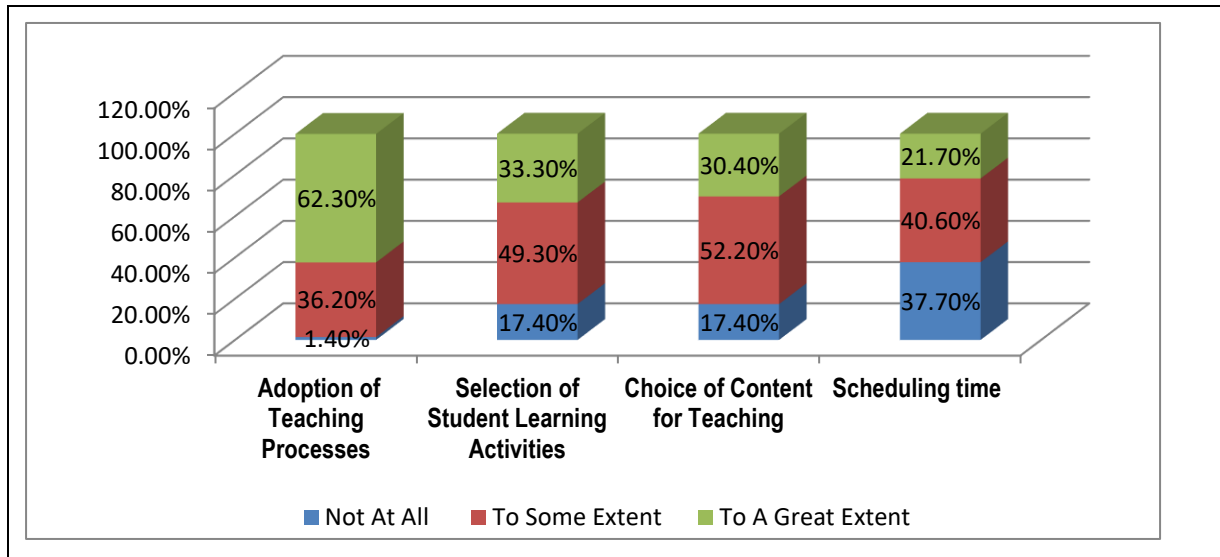
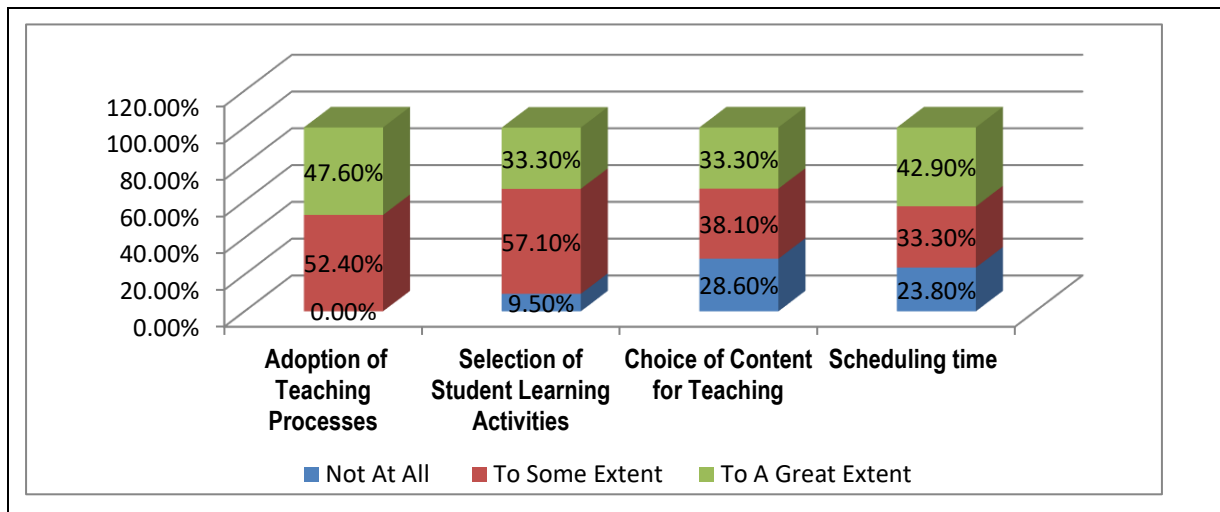


Chart 4.1 b: Status of Autonomy in Teaching (College)



Source: Primary Survey of Faculty Members Conducted During the Study

The satisfaction level could be seen from the two charts and a comparison between the satisfaction of University and College teachers can also be had. The satisfaction level for college teachers with regard to scheduling time is found to be higher than that of the University teachers. About 80% of University teachers were not too happy with the autonomy while for the college teachers dissatisfied lot accounted for 58% of the total. The reasons for higher dissatisfaction among University teachers are many- (i) The UG class schedules are normally fixed at the faculty (and not at the departments) and as such there is little scope for accommodating individual teacher's preference of time of classes. For college teachers the unit being small teachers' choice for time is

accommodated. (ii) The number of subjects taught at the University is many and choice base credit system forces the class timing to be spread over the whole day (from 8.00AM to 4.00PM). For the College, number of subjects being less, time table is relatively compact. (iii) The University teachers are involved in various administrative works and are forced to attend late afternoon/evening meeting. Contrary to this in college the Committees constituted are small and scheduling of meetings is more convenient for teachers. (iv) A large number of teachers interviewed in the University happened to be wardens of the hostel or members of proctorial board who have a rather long and tiring work schedule. The same is not so for the college.

The satisfaction of College teachers as regards choice of content of teaching was found to be quite low (28.6% saying that they have no control and another 38.1% they have little control/autonomy). The reason behind this is simple-

1. As per the University System College teachers are not part of Board of Studies and therefore have no say in deciding the curriculum. In some departments depending on the desire of the Head some teachers might be uniformly called.
2. College teachers cannot introduce any new programme and course.
3. They have no say in deciding the evaluation process either.

Justifying this complete lack of academic autonomy for college teachers so far as choice of curriculum is concerned is difficult. The college teachers always feel a sense of alienation on this ground and obviously their dedication in making any programme successful suffers.

A detailed discussion with teachers during the focus groups and heads and deans during interviews revealed three things-

1. There exist faculties again where the instructional methods and processes are determined by the regulators (case already discussed) and autonomy of teachers is constrained.
2. There are cases in which the Department/faculties in an informal manner fix the method and under peer pressure the autonomy is compromised. The young teachers in this case who are familiar with newer techniques feel that their method is not supported. College teachers also feel that the department dominates and dictates even the choice of technique.
3. In some departments the faculty members expressed concern over the way teaching work was distributed amongst them. The claim was that there is no autonomy in selection of papers for the junior teachers. Senior teachers are teaching key papers and despite having specialisation and advanced training junior teachers are not given the paper. The decision of HOD and senior teachers who constitute the time table committee of the Department is final and young teachers' choice is not entertained and autonomy denied. In the college the system is rather informal. A department consists of 3 to 5 teaches and they work in full cooperation.
4. In most common cases the dissatisfaction relating to autonomy in teaching processes and student learning activities has less to do with the right/authority and more with the availability of facilities that prevent them from exercising the autonomy. Although BHU has enviable

infrastructure but considering the number of students and needs and aspirations of teachers many of whom have had access to the Western Universities or small Universities with rich infrastructure like Jawaharlal Nehru University, the infrastructure is insufficient. Hence, many teachers complained that they cannot adopt the teaching process that they would love to because of non-availability/shortage of any or all of the following- Smart Class Rooms, Computers, Printing Facility (for distribution of reading material), funds to support educational excursions, facilities to help differently abled (especially the blind) etc. It is not the issue of autonomy but the problem of non-availability of infrastructure.

This brings us to the issue of inter-linkage between autonomy and availability (of infrastructure). The availability issue in BHU has got more to do with administration. The system in the University is not of creating Common Instrumentation Facilities (like smart class rooms, computer labs, auditorium etc.) that could be used by all the Departments of a Faculty or faculties rather one of creating separate infrastructure for the Departments and Faculties even though the facility created in this manner remain under used. The autonomy could be ensured by better coordination between departments and faculties and developing an infrastructural pool.

Control over time, Determination of Work Load

Teachers have always been contesting any regulation of their time by the authorities arguing that what they deliver in the class or what is reflected in their research output is on account of hours of work back home and as such they should be given free hand in use of their time. BHU follows a very liberal approach on this and in general provides autonomy to the teachers. Though there have been times when the University administration had made 5 hours stay in the Department mandatory for the teachers, but this is history now. It is being increasingly felt by the University that so long as the teachers are doing their duty, engaging minimum classes as per the UGC guideline and discharging other responsibilities which from time to time are given to them, any arbitrary control over them should be avoided.

Based on the survey of faculty members we prepared a weekly time-log of faculty members. The results are presented in Table 4.2 given on the next page. Although, the present chapter does not analyse the productivity of the teachers yet, the realisation that on an average about 58hrs in a week the teachers are involved in discharging their duty is soothing and satisfying. Further, the table also shows that teachers are involved in wide range of activities. They might consciously say that they are not involved in decision making and most of the decisions are taken by the University or seniors in the department, while giving their weekly time log they are admitting that on an average 2.94 hours per week they have to devote in taking part in various meetings and another 3.37 hours in other administrative work. It clearly means that they are involved in the decision making process.

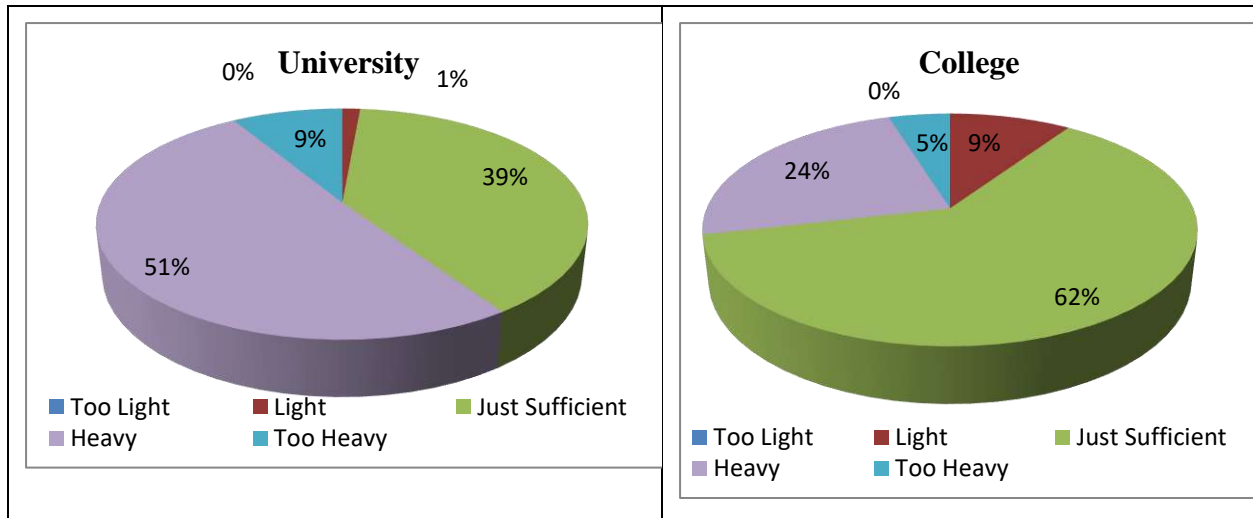
Table 4.2: Time Usage and Workload Distribution

SN	Statement	University		College	
		Average Hours per week spent	% of total time	Average Hours per week spent	% of total time
1	Teaching	14	23.73	17	30.91
2	Preparing for teaching	12	20.34	13	23.64
3	Correcting for assignments	4	6.78	5	9.09
4	Advising and Counselling of students	5	8.47	3	5.45
5	Student evaluation	4	6.78	3	5.45
6	Attending meetings	3	5.08	2	3.64
7	Other Administrative Activities	3	5.08	4	7.27
8	Research	9	15.25	3	5.45
9	Community or Public Service	4	6.78	3	5.45
10	Any other activities	1	1.69	2	3.64

Source: Primary Survey of Faculty Members Conducted During the Study

The teachers were however not happy with their excessive workload and complained that by indirectly putting them under serious work stress their autonomy to utilise their time is being nullified. The chart given below shows their perception of their work load-

Chart 4.2: Faculty Perception about Their Workload (% of Total Surveyed)

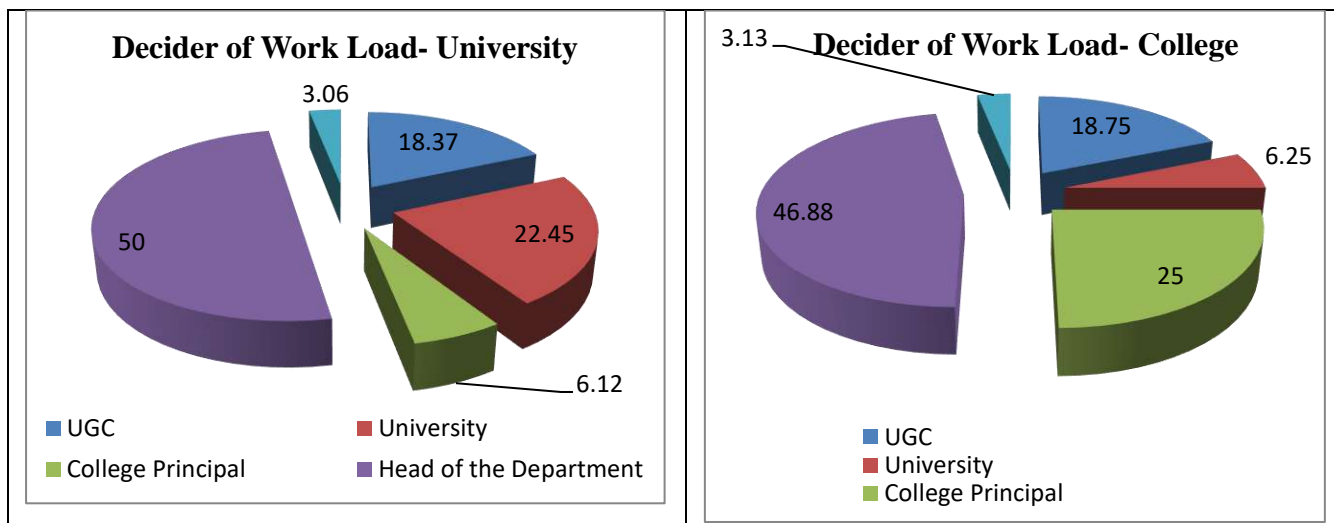


Source: Primary Survey of Faculty Members Conducted During the Study

Teachers expressed dissatisfaction on following counts-

1. Because of shortage of staff the teaching load is very high (the table also shows that professors included whose number sizeable, average is teaching load is more than the prescribed hours set by the UGC).
2. The involvement of teachers in non-teaching work is considerable here. Almost all teachers complained of the lengthy admission schedule and excessive admission related work, administrative work, participation in meetings and a host of other extra-curricular activities as playing spoil sport in their autonomy to enjoy their time.
3. In most of the departments teachers had this feeling that it is their Head of the Department (50%) who decides their workload. They claim that apart from the Head, the role of the UGC (18.37%) and University (22.45%) is important. The situation is not much different for colleges. Since principals are the controlling officer so the place of University has been taken by principal i their case, rest of the things have remained the same. The general feeling is that their own opinion is never taken into consideration in allocating workload to them. In some departments young colleagues had the reservation about the way the work load was being determined. They claimed that the UGC directives as regards optimum work load for professors, associate professors and assistant professors were openly flouted and HODs in arbitrary manner was dividing the workload. They were not given any autonomy.
4. There is significant difference between the perception of University and College teachers on the ground of workload. By all standards the College teachers were more satisfied. Close to 62% of them felt that their workload is just sufficient and only 5% that it is too heavy. The perception differs not because the workload of University is more than that of College teachers, but because of the reason that in colleges teachers are involved in the decision making process and in most cases collectively the workload is decided. This sense of participation in decision making make them feel happy and satisfied.

Chart 4.3: Decider of Workload



Source: Primary Survey of Faculty Members Conducted During the Study

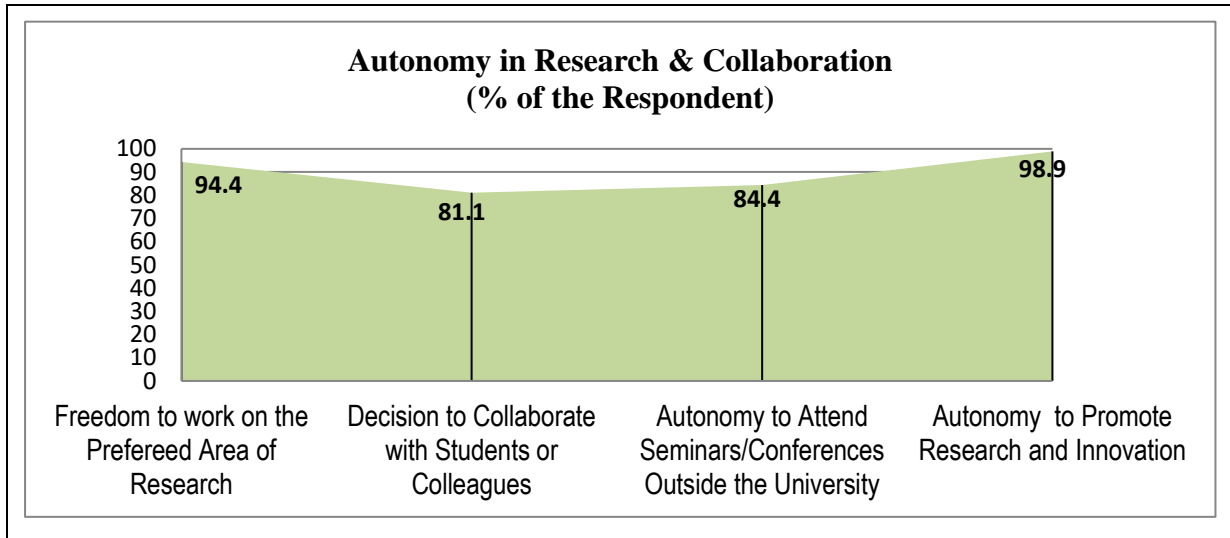
Choice of Doing Research, Collaboration and Twining

Since the purpose of higher education is, in addition to dissemination of knowledge also creation of knowledge, so research occupies a prominent role. The world over academic institutions give freedom to the faculty members to conduct researches in their area of interest, forge collaboration with domestic and international partners and share their professional knowledge with their peers. Autonomy in the field of research and collaboration is a must to create a research culture and promote research and innovation.

BHU administration understands that “Research in higher education can only thrive in an open and conducive environment wherein the researchers are given a free hand and full administrative support to enable them to implement their constructive and innovative ideas. This may be carried out by following broad guidelines with an in-built mechanism of midcourse correction.” (CABE, 2005:46). The University therefore grants full autonomy to teachers in selection of their area of research, deciding colleagues with whom they want to work with both from within the institution and outside and are given freedom to promote researches in the way they prefer. Chart 4.4 given below shows the autonomy enjoyed by teachers in research and collaboration. A closer look at the chart reveals the following:

1. Faculty members are aware of and fully acknowledge the autonomy to choose their research area, collaborate and share their research result. In general touching 90% plus faculty members expressed their happiness over this. The University does not in any way interfere with their decision rather provides a support mechanism. The administration always gives credence to quality research and has erected an administrative set up that helps funding the research and research publications, obtaining patents, providing consultation services etc. Teachers who are part of different committees that promote research are always involved in improving the set-up.
2. Chart shows that the satisfaction level as regards the autonomy to attend seminars is comparatively low (84.4%). The reason for faculty’s perception about relatively less autonomy in attending seminars is due to the following- First, Most of the Department discourages teachers from attending Seminars at the cost of classes and many times the objection of the Head is not purely on objective grounds.

Chart 4.4: Autonomy in Research and Collaboration



Source: Primary Survey of Faculty Members Conducted During the Study

Second, Faculty feels that the criteria for sanctioning duty leave is not very fair and objective, Third, Financial assistance given for attending the seminars/conferences is meagre.

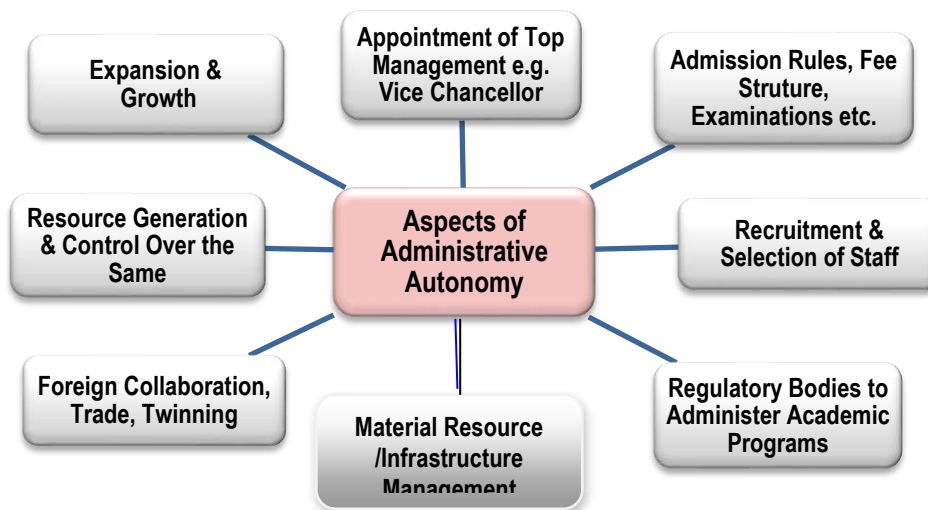
The situation in College was not much different. College teachers too feel that as far as research and research collaborations are concerned they enjoy near full autonomy.

Administrative Autonomy

The importance of administrative autonomy as a determinant of performance of HEI is an established fact (Aghion et al. 2007, 2008, and 2009). For a considerable period of time this was not appreciated in India and as a result the Universities here have been under complete administrative control of the government. Even after governments proclaimed policy of decentralization, general consensus is that the autonomy enjoyed by the universities in our country is limited and even that varies from state to state and between Central & State Universities. Efforts need to be made to enlarge the scope of administrative autonomy of the universities starting from selection of the Vice-Chancellors to those of the teachers and others functionaries, including the constitution and functioning of various decision making bodies like the Court, Executive and Academic Council, etc.

External Administrative Autonomy- A major cause of concern is limited external autonomy. There are a number of types of administrative autonomy that need to be granted to the Universities. The Chart given below briefly presents the main aspects-

Chart 4.5: Aspects of External Administrative Autonomy Relevant for Universities



The autonomy given to the University by Ministry (MHRD) or the buffer body is very crucial for effective decision making and performance of the Universities. In a number of cases in our country the appointments to the top posts are not made purely on the grounds they should be, rather based on other considerations that adversely affect the functioning of the University. Similarly the kind of autonomy given to the Universities from the Ministry/buffer bodies (UGC/AICTE etc.) in other aspects mentioned in the chart above is very crucial and as of now the autonomy granted is very limited as says Raza (2009:19) “A number of institutional weaknesses currently justify the categorization of India’s tertiary sector as being “over regulated and under governed”. Problem areas include the lack of tools available to the UGC vis-à-vis its mandate, the fragmented financing system, the voluntary quality assurance system, or to put it another way, as well as the lack of secondary mechanisms to ensure compliance, and an over active judiciary and government.”

We do not take up this issue for detailed discussion for two simple reasons-

- First, In case of BHU, these are given by the BHU Act, Ordinances & Statute (Required by the demand of time, the Acts, Ordinances and Statutes are modified periodically or as and when need arises.) and determined by the Central Government almost uniformly for all Central Universities (with minor deviations here and there), hence there is very little scope for BHU specific treatment of the same.
- Second, as written at the beginning of the Chapter while drawing the contours of the chapter, we delve deeply on the internal autonomy questions that are University specific.

As far as University specific questions of internal administrative autonomy are concerned, we concentrate on the issues already identified and mentioned in Table-4.1.

Admissions

Admission decisions in the University are taken by the University and the system is evolved after deliberations and consultation of teachers. The University Admission Coordination Board, the responsible body (Vice Chancellor as its Chairman and a senior professor as its Vice Chairman) has members who are teaching staff of different faculties. The Board regularly invites Deans and Directors while deciding the policy issue and any change in provision is sent to faculties and Departments for their ratification. It is an open, transparent and decentralised system. Admissions are done by respective admission committees of the Departments/Faculties with the help of online admission assistance committee (Comprising of teachers) and vendors providing the software for admission. The decentralised system work and students/applicants also seem very satisfied with this. The Chart given below describes the admission process hierarchy:

Chart 4.6: The University Admission Process Flow Chart

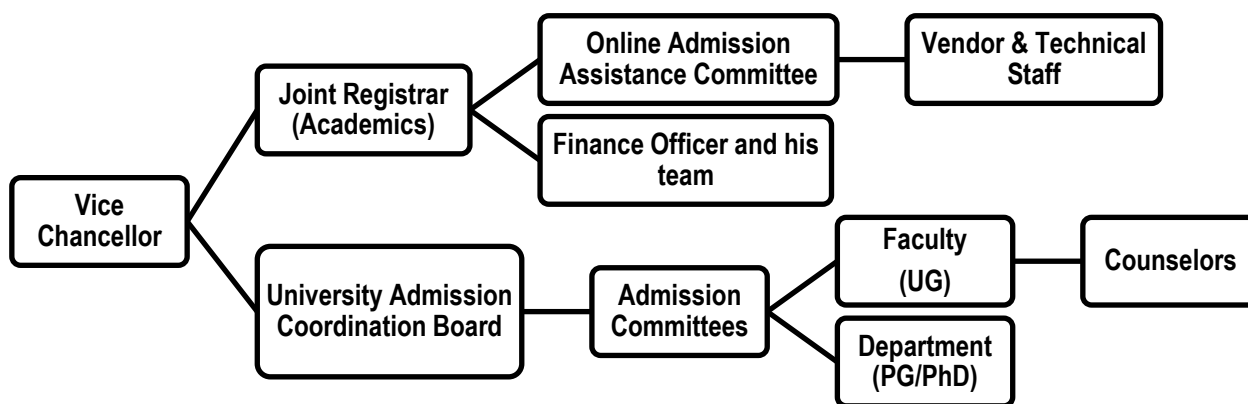


Table 4.2 based on survey of over 600 students of the University and college, provides details of how students enjoy and approve of this system of admission:

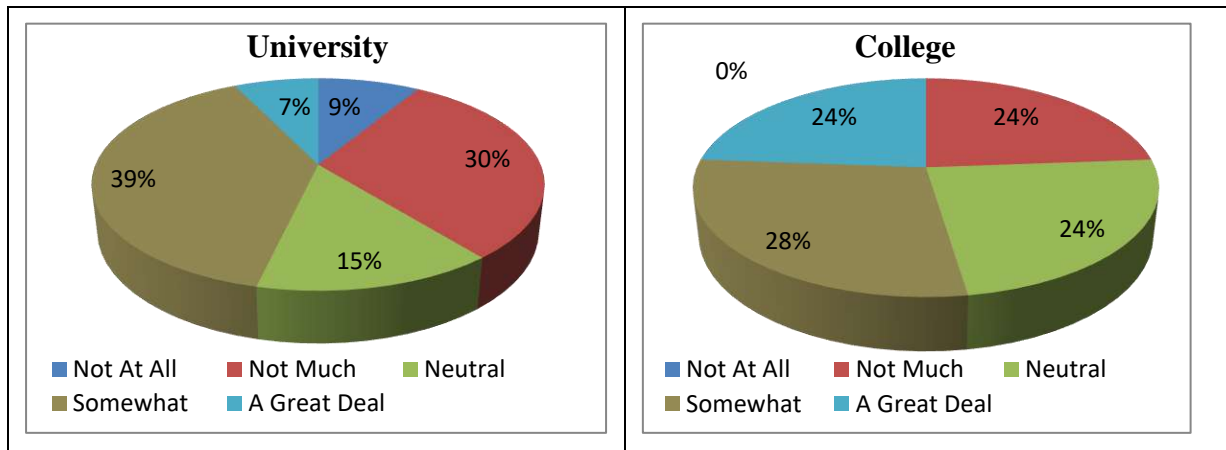
Table 4.3: Admission Services

Admission Services	Percentage
Admission Staff Helpful at the time of Admission	71.2
Admission Process Fair & Transparent	87.7
Awareness of Financial Aid Options	55.6
Administrative Staff Supportive	55.3

Involvement in Governance Processes, Committees etc. at the University Level

The Banaras Hindu University is huge in size and despite having an army of administrative staff cannot manage its affairs without active participation and involvement and participation of teachers. Even otherwise the University has a long history of academics actively involved in the decision making process through their involvement in different Committees. During the study faculty members were asked questions about their involvement in shared governance. The result is presented in the chart given below:

Chart 4.7: Involvement in Governance Process (% of Governance)



Source: Primary Survey of Faculty Members Conducted During the Study

So far as the University is concerned, the chart does not reflect a very bright picture of teachers' participation as only 07% of them say that they have great deal of involvement in decision making process, 09 % say that there are not at all involved, while 39% say that they are somewhat involved. A substantial percentage of those interviewed felt that they are not much involved. The situation in the college is much better. Here 24% said that they have great deal of involvement in governance. The difference is primarily explained by the size of the two units. University is huge and number of teachers being very large, only a certain percentage of senior teachers is involved. Bulk of the young teachers is not involved much at the university level committees so they feel dissatisfied and disassociated. College is a small unit and every teacher in one way or the other is involved in decision making process.

There was a general resentment among faculty members as regards the administration not giving them opportunity to participate based on their interest. More than 75% of them claimed that they have no say in deciding which committee they would like to serve.

Table 4.4: Decision on which committee to Serve

Decide On Which Committee To Serve	University	College
Yes	21.7	28.6
No	78.3	71.4
Total	100	100

Source: Primary Survey of Faculty Members Conducted During the Study

The quantitative data related to Committees served during the last one year too does not provide a very rosy picture. The average number of Committees served at the Department level was 2.58 and University level only 1.17 for University teachers. Clearly the participation of college teachers in University level committees was very low (0.30) showing that college teachers are not much involved in the decision making process of the University. However, if we compare the participation of University teachers in faculty level committees with involvement of college teachers in college level committee, here the college teachers score high.

Table 4.5: Committees Served Within Last One Year

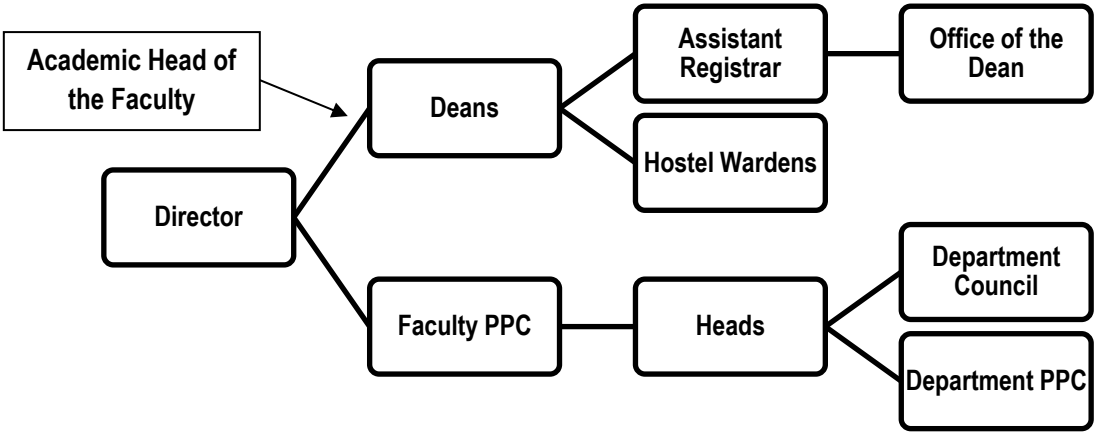
No of Committees served on Within Last Year	University		College	
	Mean	Standard Deviation	Mean	Standard Deviation
Departmental level	2.58	3.42	0.8	0.89
University level	1.17	1.41	0.3	0.66
College Level/Faculty Level	1	1.73	2.4	2.48
External committees or boards	0.97	1.317	0.29	0.46

Source: Primary Survey of Faculty Members Conducted During the Study

A brief perusal of quantitative information provided above paints a rather bleak picture of involvement of teachers in decision making process. The reality is far away from this-

- a. All the important Committees of the University e.g. those related to admissions, examinations, student welfare, staff/student grievance which are related to day to day functioning of the University. are headed by teachers. All the members of such Committees barring the member secretary (who happens from the administration side- a Joint/Deputy/Assistant Registrar) are teachers.
- b. Teachers head all the Committees that are related to giving future direction to the University like planning, academic growth, quality improvement (e.g. Internal Quality Assurance Cell, Knowledge Management Cell, Research & Teaching Committee, Business Interface Committee so on and so forth.)
- c. Teachers work as Professor in Charges of different units of the University like BHU Press & Publication Cell, Horticulture, University Works Department, Proctorial Board etc. The role is primarily administrative and teachers work in tandem with the Central Administration of the University.
- d. Teachers head the enquiry committees that are set up to enquire into any anomaly by anyone- administrative staff, teachers, and non-teaching staff.
- e. The University promotes a decentralised system of management. This is reflected from the following chart showing various functionaries and their duties and role in decision making process:

SN	Functionaries	Duties & Role in Decision Making
1	Vice Chancellor	Institutional Executive Head, Principal executive and academic officer of the University, <i>ex-officio</i> Chairman of the Executive Council, the Academic Council, and the Finance Committee. He has all the powers that he delegates to different functionaries like Directors, Deans and Officials of the University. It is this team that primarily is responsible for running the University

2	Registrar	<p>He is the custodian of the records, the common seal and such other properties of the University, issues under the direction of the Vice-Chancellor all notices convening meetings of the Court, the Executive Council, the Academic Council, the Selection Committees, the Faculties, the Boards of Studies, and of the committees appointed by the authorities of the University.</p> <p>The Registrar functions with the help of a team of Joint Registrars looking after Academic, Administrative, Financial, Grievance Redressal and other such works.</p> <p>He constitutes, with the approval of the Vice Chancellor a number of Committees consisting of teachers of the University for recommending different decisions to the Vice Chancellor and performing various administrative works.</p>
3	Finance Officer	<p>He/She exercises general supervision over the funds of the University and advises it as regards its financial policy. He/She holds and manages the property and investments of the University. He prepares of annual accounts and the budget of the University for the next financial year and for their presentation to the Executive Council</p>
4	Controller of Examinations, Librarian, Chief Proctor etc.	<p>They perform different duties as mentioned in the statutes of the University with the assistance of a team. The team comprises of teachers of the University who are nominated as members and thereby play a very significant role in decision making</p>
5	<p>Faculty Level</p> <p>Chart given below summarizes the decision making process at the Institute and Faculty Level-</p>  <pre> graph TD Director[Director] --> AcademicHead[Academic Head of the Faculty] Director --> Deans[Deans] Director --> FacultyPPC[Faculty PPC] Deans --> AssistantRegistrar[Assistant Registrar] Deans --> HostelWardens[Hostel Wardens] AssistantRegistrar --> OfficeOfTheDean[Office of the Dean] FacultyPPC --> Heads[Heads] Heads --> DepartmentCouncil[Department Council] Heads --> DepartmentPPC[Department PPC] </pre>	<p>We very briefly explain the main functionaries at Faculty and Department Level here-</p>

Functionary	Composition/Selection Criteria	Duties/Powers
Dean of the Faculty	Senior Most Teacher of the Faculty appointed by rotation for a period of 3 years	Academic & Administrative Head of the Faculty, Represents the faculty at the University Level, Sits in Selection Committee
Faculty PPC	Dean is Chairman and Heads of all the Department and Coordinators of all the Centres are members	It takes all major policy decisions and advises the Dean on Administrative and Academic decisions such as issues relating to Admission, Appointment, Promotion, Collaboration, Future Plans, Missions etc.
Office of the Dean	Consists of one Officer of the Assistant Registrar Level and team of ministerial staff	It is responsible for all office work
Administrative Wardens/Wardens	Appointed by the Vice Chancellor from among the teachers on the recommendation of the Dean for a period of three years	Looks after the hostels of the Faculty. The University has Faculty wise hostels and Dean of the Faculty is Chief Warden who works with a team of Administrative wardens and wardens
Student Advisor	A Senior teacher of the Department appointed by the Vice Chancellor on the recommendation of the Dean	He/She coordinates with the Dean Students and looks after the students affairs/students amenities at the Faculty Level.
Faculty Examination Committee	It has one examination coordinator and few members appointed by the Dean	It conducts and manages examinations at the faculty level
In addition to the above the Dean constitutes a number of Committees as and when such need arises. These Committees are headed by Senior teachers of the Faculty and have some teachers as members. This allows participative decision making at the Faculty level.		
6 Department Level		
Functionary	Composition/Selection Criteria	Duties/Powers
Head	Senior Most Teacher of the Department appointed by rotation for a period of 3 years	Executive Head of the Department, Works in consultation with PPC and DC, Sits in the Selection Committee as Internal Expert
Policy Planning Committee(PPC)	Head, Previous Head and 3 Senior Most Teachers of the Department	Approvals Panel of Experts for Selection Committee, Appoints Board of Examiners, Board of Studies, Takes all policy decisions in consultation with DC
Department Council(DC)	All Teachers of the Department	Takes all decisions relating to day to day functioning of the Department,

Shared Governance at the Department/Faculty/ Institute Level

Decentralised decision making in higher education has been supported and propagated by researchers the world over and this is why in India also University management is making effort to share decision making authority with lower level functionaries. Teachers are being given autonomy to take lot or decisions. Despite that a general perception of teachers at BHU is that decision making is always done by the superior authorities. Table 4.6 shows the response to the question who takes most of the decisions?

It is clear that the general feeling is that in the University most of the decisions are taken by Deans and Heads (45.9 and 16.4 respectively) and in the college by head and principal. The teachers especially the younger ones claim that their involvement is minimal.

Table 4.6: Who Takes the Decisions?

Who Takes Decisions	University	College
Head of the Department	16.40%	29.40%
Deans	45.90%	-
Vice-Chancellor	24.60%	-
College Principal	13.10%**	70.60%

** On account of inclusion of teachers of Mahila Mahavidyala among teachers

Source: Primary Survey of Faculty Members Conducted During the Study

There is an atmosphere of mistrust and crisis of faith. In some faculties the members stated that the Deans and Heads (i) do not consult them in determining specialization for post and often change that to suit their candidate, (ii) alter or swap reserved and non-reserved category positions with ulterior motive (iii) do not consult teachers in distribution of workloads and papers, (iv) do not involve colleagues in making expenditure/purchase related decisions, (v) do not maintain transparency in PhD admissions, (vi) do not follow objective criteria in approving research proposals for external funding, (vii) do not consult them in deciding how the common property resource of the Department is to be shared, (viii) do not take the opinion of teachers in developing curriculum/specialization etc. The college teachers were not that vocal and were rather hesitant in sharing their feeling on the issue but a small section of them also expressed displeasure.

The common perception is that the proclaimed policy of decentralization and involvement of teachers in decision making either do not exist in practice or has been crushed by the connivance between head and higher level functionaries. For about 35.6% of the respondents who feel that shared governance is very important, this denial of autonomy at the Department Level is very frustrating.

Environment of and Freedom in Pursuing Career Development

The governance structure should be such that it provides to the faculty members sufficient scope and autonomy to develop professionally. Teachers should have freedom to attend professional meetings like seminars, workshops etc. attend training workshops like orientation/refresher courses, carry out PhDs and research projects etc. BHU administration has always provided

sufficient scope and autonomy to teachers in this regard. During the study we used both quantitative and qualitative tools to study that. The survey findings in this regard are presented in form of the table given below.

The table shows that in almost all but 3-4 parameters the satisfaction rate of teachers is fairly high. Teachers feel that the University does things for them. They have sufficient autonomy to attend/organise seminars, go on deputation for attending training workshops etc. Obviously some of them are not satisfied the way HODs regulate such activities and on the plea of Department having less number of teaching staff or loss of classes (because of teachers' involvement in training programs) do not permit them to go for orientation/refresher courses at times.

Table 4.7: Faculty Development Initiatives (%)

SN	Programme	University	College	Total
1	Measures to Enrich Professional Development of Teaching Staff	84.1%	85.7%	84.4
2	Deputation For Refresher Courses	73.9%	95.2%	78.9
3	Regularly Conducting Faculty Developmental Program	82.6%	100.0%	86.7
4	Conducting Seminars/ Conferences	91.3%	95.2%	92.2
5	Opportunity to Interact with Experts in Various Fields	85.5%	85.7%	85.6
6	Conduct Regular Workshop on Syllabus or New Development in the Field	56.5%	61.9%	57.8
7	Addresses by Experts from Industry and Academia	62.3%	61.9%	62.2
8	Incentives Given to Staffs to Complete PhD	75.4%	57.1%	71.1
9	Faculty Members Encouraged to Take Up Research Projects	87.0%	85.7%	86.7
10	Implementation of Performance Appraisal System using API Scores as per UGC	88.4%	100.0%	91.1
11	Appraisal Reports Submitted Through Head of department	87.0%	85.7%	86.7
12	Part of Planning Professional Development Programs	40.6%	47.6%	42.2

Financial Autonomy

The governments all over the world have always been little miserly when it came to providing financial autonomy. It is a strong belief that as the Universities are funded from the public money, it is the responsibility of the government to ensure that the money is used prudently and for the purpose it is given. It is this that encourages the government to exercise excessive financial control over Universities. BHU like any other Central University is governed by the GFRs and provisions of financial accounts and control. Financial Management & Regulation in the economy are the responsibility of Finance Officer who is on deputation from Indian Audit and Accounts Service. Para 5 of the Statute clearly mentions the powers and functions of the Finance Officer. We mention some important provisions of the University to have a glimpse of financial autonomy-

Financial System, Control & Scrutiny: External Financial Autonomy

The disadvantage of centralized control systems is that they rely on the centre operating extensive, time consuming processes of approving, and vetting planned expenditure in institutions. Inevitably this is cumbersome, unresponsive, and inefficient in that it reduces flexibility and gives no incentive to institutions to manage resources well. As higher education systems expand, it also becomes unsustainable in terms of public sector workload and staffing. Thus the system of financial control should be decentralised to the extent possible. The table given below shows the extent to which external financial autonomy is enjoyed by BHU-

Table 4.8: Centralized Control and Autonomy: the BHU Case

SN	Topic	Centralized Control	Autonomy: The BHU Case
1	Annual Budgets	Agreed in detail by MHRD or the funding body	Agreed by the MHRD/UGC but the University has full access and control over the income generated by it
2	Expenditure	“Line item control” so that institutions cannot switch expenditure between the agreed budget headings	<ul style="list-style-type: none"> • General Expenditure head has to be in line with the purpose for which money is sanctioned but some re-appropriation allowed. • University can use Internal Resources as per its plans
3	Under-spending at the end of an accounting period	Surrender of all under-spent sums to MHRD/ Ministry of Finance	Freedom to carry forward under-spending (and to absorb any overspendings from future funds within limits)
4	External earnings from non-government sources	Surrender to the Ministry of Finance or MHRD of all external earnings	Freedom to retain and spend freely all sums earned from non-government sources
5	Tuition fees for domestic “local,” domestic “out of state,” and international students	Fees cannot be charged or, if they are, have to be set at a fixed rate and then surrendered to the ministry of finance	Fee levels can be set freely and the money retained without affecting the budget allocation from the government

Hence, although the University is guided and governed by the financial rule of the government but it also enjoys some procedural autonomy.

Purchase System and Regulations

The University strictly follows the GFR rules of purchase and expenditure. Hence, for all kinds of purchases the rules are to be followed. There are some deviations allowed

1. University can raise the amount up to which goods can be purchased without calling quotation. In the University previously the amount was Rs.15000/- but now raised to R.25000/-
2. It can alter the similarly the amount for Limited Tender, Open tender etc.

3. Based on the Government of India financial rules, the finance office decides rules and regulations for TA/DA/LTC payment etc.
4. University decides honorariums etc. payable.
5. University gets merged grant from the Plan which is allocated by it based on the decision of the Vice Chancellor and Finance Committee

Financial Autonomy at the Department Level

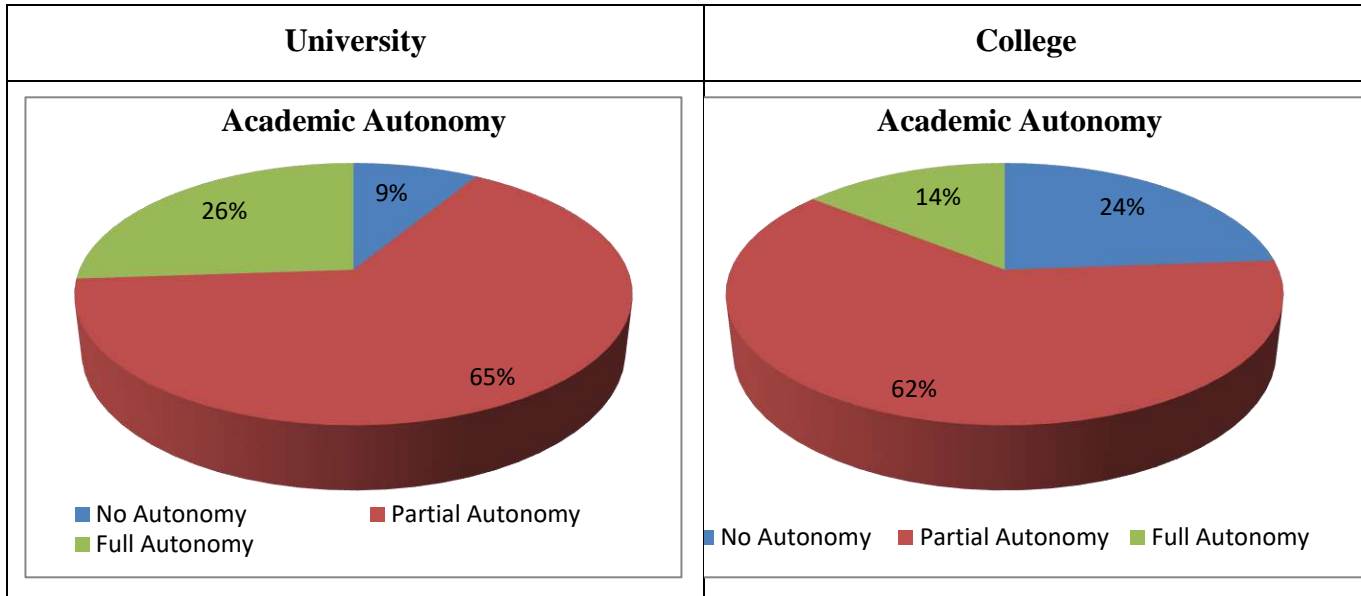
The Faculties and Departments are allocated fund by the Finance Committee based on the resources available at the University and needs of the recipient. The fund allotted are of two types- One fund for normal day to day establishment related expenditure and two funds for expansion and development. For establishment related expenditure the departments are given a fixed amount (normally same amount year after year). The Department has to follow GFR and other rules prescribed by the University from time to time in spending such funds. There is a system of internal audit that ensures that are funds are spend for the purpose they were sanctioned and government rule have been followed. For expansion related expenditure the Faculties and Departments have to submit detailed proposal with the University. The Finance Officer with consultation from the budget section and declared policies of the University allots funds.

The Faculties and Departments have additional source of income in Banaras Hindu University and i.e. portion of fees submitted by the students admitted under paid seat category. 15% of seats in different departments are super numeracy and students getting admission under this category pay some amount (fixed by the University) over and above the normal fee. 30% of the fee is retained by the University and remaining amount goes to the Department. The Department as per set rules can spend this amount after getting approval from the Special Fund Section of the University. Similarly the Departments running Special Courses get lion's share of the fee paid by students of such professional courses. The University has clear set of rules as to how the funds received by the Departments are to be spent and on what items. The Expenditure made is audited and GFR is followed in making expenditure.

Overall Autonomy

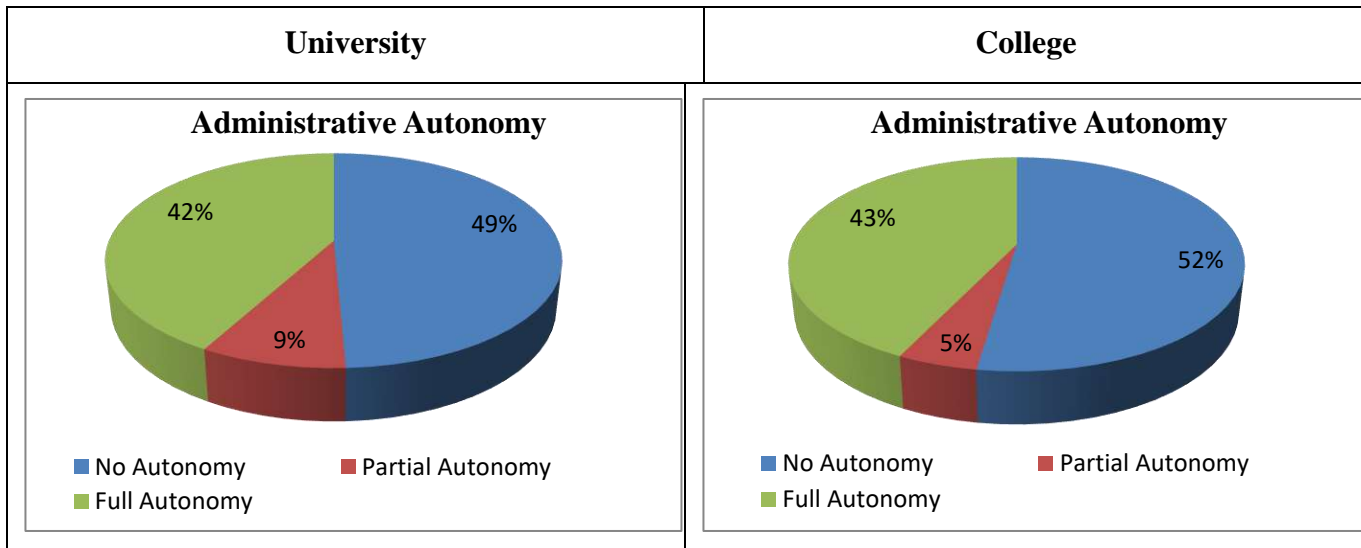
Overall if we attempt to see the picture of administrative, academic and financial autonomy it seems a mixed bag. While the University record from the perspective of the teachers is better for Academic autonomy where 26% say they have full autonomy (14% for College) and another 65% partial autonomy(62% for College). It means on academic matters depending on their level of seniority teachers have different perception of autonomy. While the younger ones who are less involved and more demanding are dissatisfied, the senior people who have grabbed the opportunities that have come their way are more satisfied.

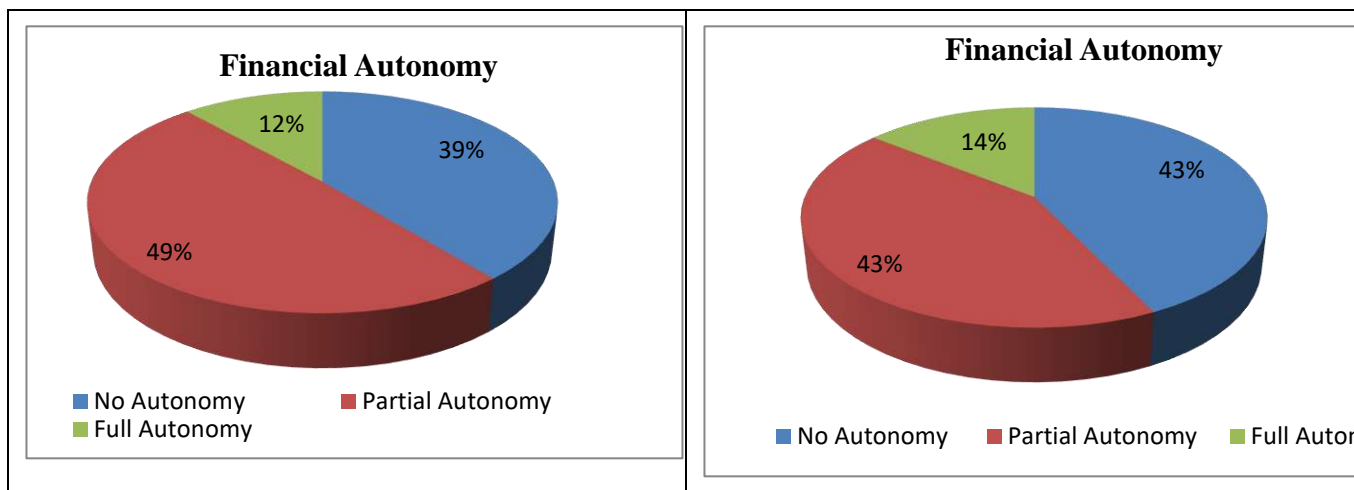
Chart 4.8 a: Degree of Autonomy: Summary Picture



The situation in case of Administrative and Financial Autonomy is rather difficult. In case of administrative autonomy about 50 % of teachers both in the University and College feel that they have no autonomy and around 40% say that they have full autonomy. It is clearly either having ‘full autonomy’ or ‘No Autonomy’. This is practically not possible unless we believe that while the system in general gives autonomy but it is manipulated at the middle level. The Deans, Heads and Seniors they do not allow the younger teachers their due role in decision making process. Thus while the seniors who make full use of autonomy granted by central administration say that they have full autonomy, those who are at the receiving end say that they have no autonomy.

Chart 4.8 b: Degree of Autonomy: Summary Picture





Problems in the way of Autonomy

A perusal at the status of three kinds of autonomy for BHU indicates that from the perspective of the teachers, the autonomy granted and decentralisation is not totally satisfactory. There are certain factors that are responsible for this perception and that also explain to some extent existence of low level of autonomy-

- The Higher Education System in our nation is passing through a phase of transition and from a state dominated, state regulate system we are gradually moving to a more liberal framework. Throughout the nation and BHU of course is no exception, there is reluctance on the part of the higher echelons to delegate responsibilities to decentralized units either because it is afraid of breaking away from the tradition and treading untested waters. They are either not very sure about the viability of the 'autonomy alternative' or else does not want to share authority and power. For considerable period of time critics have been BHU as very Vice-Chancellor centric University adopting top-down approach of administration, the change to a more decentralised system of management cannot be sudden. The transformation has to be gradual in order that things do not fall apart. This gradual transformation is often dissented.
- One could clearly witness hesitations on the part of the functional units of the University to undertake the decentralized responsibilities. They are aware that with autonomy would come accountability and they would be held responsible for their decisions. It will take people sometime to come out of the mental-block and venture into an era they are master of their things. Though we have numerous examples but one is sufficient to draw forth the point. The Office of the Controller of Examinations have since long pleading that the examination system be decentralised and faculty (if not the departments) be conducting their own examinations, an autonomy which faculties have deliberately avoiding to accept.
- Autonomy can be effective only when there is willing and honest participation of all quarters i.e. the students, teachers and management in the education process. They should be willing to stand up to intense scrutiny of their role in autonomy. A system of academic audit at every step

of the implementation of the concept of autonomy should be acceptable to all concerned parties. This requires not only commitment and dedication but also training and exposure in the 'untested water'. Unfortunately, a significant section in BHU wants to enjoy autonomy but has not been very sure about the accountability attached to it.

- There are certain key issues that have played a spoil sport:
 - First, administration has found it difficult to decide the optimum level of decentralization in different fields (administrative, academic etc.)
 - Second, the vision of how to decentralise the decision making i.e. determination of phases of decentralisation has not been very clear (and perhaps the level of decentralisation is also unclear) in the minds of top functionary.
 - Third, the University has not been able to communicate in a very effective way to the lower level functionaries the decentralisation initiatives taken by it.
 - Fourth, those who are at the intermediate level and have been the beneficiaries of the decentralisation process (Heads and Deans) are perhaps not that willing to pass on the baton to those below them. There is no mechanism in place to check that. Communication gap between top administration and lower level functionaries has been exploited by the intermediate level functionaries.

Conclusion

The question of autonomy is as much a demand side problem as it is a supply side issue. For a University like BHU, it is not only the question of having provisions for and a system of decentralised decision making, it is also a question of involvement of those who are given the autonomy to take decisions. Even if we for the moment leave aside the 'autonomy-accountability conundrum', we need to appreciate that while it is imperative that those who are at the top give freedom and autonomy to people down the order to take decisions (related to issues that primarily concern them or they have expertise in); it is more important that those to whom the autonomy is granted are fully aware of the same, equipped with the ability and motivated to make the best use of the autonomy granted.

It is observed in the public systems that though we cry for autonomy but if the same is granted, we surrender it to others for the fear of failure or for our preference to lead a hassle free life (life that does not involve risks caused by taking decisions). Banaras Hindu University is of course no exception as here too in a number of cases lower level functionaries are not effectively involved in decision making as they are not conscious, demanding and do not want to risk displeasing their seniors. This apathy, hesitation and indifference has given space to and also compelled the Heads and Deans and in some cases University Authority to encroach upon the autonomy and decision making space of teachers. The Ordinances are amended on the recommendations of agencies (Academic Council) of teachers, yet majority teachers express their ignorance of the same and for trivial issues related to the provisions of the Ordinances approach Central Registry for its guidance

(rather than guiding and dictating the Central Registry on these). In a number of other cases teachers are ready to surrender their decision making authority to Heads and Deans (by skipping the Departmental Council Meetings of Faculty meetings and voicing their opinion). There is ignorance as well, so far as the new teachers are concerned. There is 'No System' that could inform teachers of their rights and decision making authority- most of them learn it through experience and in the way their seniors want them to learn it.

A very crucial factor for Banaras Hindu University, as already mentioned relates to its size that discourage and make difficult personal contact with the authorities. The system created for dissemination of information is inappropriate and insufficient for this huge structure. 'Ignorance is not bliss' in all cases, and in this case it has resulted in loss of autonomy and discouraged involvement and participation. It is but natural that in any situation in which those at lower level are either ignorant or less demanding (as regards their decision making right), the situation will be exploited in their favour by those at the top. This would promote centralisation and control. Probably in so many ways the alleged 'centralisation' in this University can be attributed to these.

Nobody would deny that such a system in which autonomy is not practised the way it should be is undesirable. Efforts need to be taken to correct the system. This could be in form of developing the information system, sensitising the teachers about their rights of decision making, convincing the line managers about the merits of decentralisation and participatory decision making so on and so forth. We talk about these suggestions in the last chapter of this report. We end this chapter by saying that although it is true to say that autonomy alone may not guarantee higher quality, just as non-autonomy need not preclude better performance and the calibre and attitudes of students towards learning, the competence and commitment of teachers towards educational processes etc. matter, yet autonomy would definitely guarantee making the best use of the 'calibre of students' and 'commitment of teachers'. The collective decision that autonomy would guarantee would encourage administration, teachers and students alike to own any decision and do their best to make it a success.

Chapter 5

Governance and Management Processes

For a vast majority of developing economies like India passing through the second stage of demographic transition and giving impetus to higher education to improve the quality and productivity of population (considered essential to reap the demographic dividend and negate and neutralise the sea of obstacles), proper governance and management of higher education is very crucial. How the higher education system is being managed, expanded, regulated and designed is going to significantly affect the life of millions of people living here and the nation proper.

Providing higher education, governing and managing the same in the era of massification of education is a Herculean task. The challenges of higher education emanate from dramatic changes simultaneously occurring in its role in society, the demographic composition of students, societal demands relating to research and services, the cost of instruction and research, availability of public support so on and so forth. Talking about India, the health of Indian Higher Education system is in jeopardy. It is confronted with a number of problems: *First*, fiscal problems today confront both public and private institutions across the country, and the resulting budget reduction is threatening to plunge the sector into confusion and chaos. *Second*, quality of higher education is being eroded as the policy makers are finding it difficult to strike a balance between massification and maintaining quality in the face of mushrooming growth of HEIs. *Third*, there is the problem of ensuring access to higher education to the deprived and weaker section of population. It is often being claimed that the higher education reach of the minorities and underprivileged in India remains inadequate. *Fourth*, there is the issue of autonomy and accountability of the higher education institutions and the issue of striking a proper balance between the two. We can go on counting like this and the list will become long but still remain incomplete. If the higher education has to play its destined role of improving the quality and productivity of the workforce, then these issues need to be resolved by evolving a proper system of governance and management.

Government and those at the helm have been trying to find the ways and means of improving the governance and management of higher education. The crux of the governance of higher education system in India is that education happens to be in the concurrent list and hence, the system of governance, rules, regulations the degree of autonomy granted to HEIs and accountability etc. all vary significantly across states. Not only this even among the Central universities which are governed by the Government of India, the governance system varies significantly across universities. Each Central University is formed by separate Acts of Parliament and differs significantly in terms of the governance systems like the appointment of the top executive, tenure, rights and duties, academic bodies and their rights, degree of openness and autonomy etc. It is therefore imperative for us to explore the alternative governance systems and identify their strengths and weaknesses so that the merits and strengths can be replicated and the problems or weaknesses can be avoided in other universities. The critical question however is of the 45 odd central universities which one should be studied. Definitely the choice cannot be in favour of

universities that are very new and do not therefore have the complexities that are very common with the governance system, nor can it be universities that have structure and system that are unique and completely different from the rest. The chosen university has to be an old one and also one that is big in size. It is this that has encouraged the present study to choose Banaras Hindu University as the sample among the Central Universities.

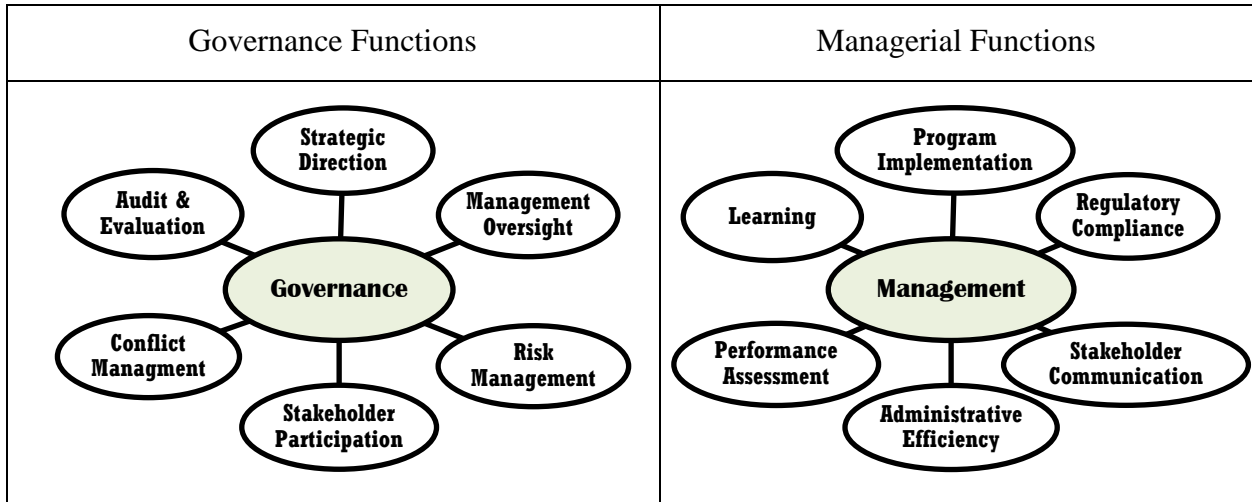
The present chapter deals with the aspects of governance and management processes at Banaras Hindu University and its affiliated college. The chapter is structured into four sections. *Section-I* briefly explains the meaning of governance and management processes in higher education and attempts to identify features of good governance so as to make it easier for us to understand the criteria on which the governance of the University under study be analysed. *Section-II* explains and evaluates the governance process at the University and *Section-III* comes up with conclusion and gives some suggestions to improve the governance structure of the University.

Section- I Meaning of Governance Processes

An effective and robust system of governance is an essential component of every higher education provider's overarching governance structure. It provides the framework for establishing and sustaining quality and integrity in higher education provision and ensuring quality learning outcomes for students. Governance of Higher Education is defined as "the structure and processes of decision making" (Carnegie Commission, 1973) and "the establishment of policies to guide (the work of the institution) as opposed to daily management or administration of the institution (Ehrle & Bennett, 1988). Hence, it relates to giving a long term vision to the HEIs and taking steps that could shape its growth and evolution in the long run. Management, on the other hand, concerns the day-to-day operation of the program within the context of the strategies, policies, processes, and procedures that have been established by the governing body. Whereas governance is concerned with "doing the right thing," management is concerned with "doing things right.

The boundary between governance and management is not very rigid and varies depending on the structure, maturity and size of the higher education institutions (HEIs). In smaller autonomous institutions normally the task is performed by same set of people while in big universities normally it is the responsibility of Executive Council/Senate to take the governance role with the executive head Vice Chancellor at the helm, while day to day management is looked after by a team comprising of registrars, deans of faculties, heads of departments etc. The OECD Principles of Corporate Governance (2004) clearly demarcates the governance and managerial functions which can be modeled to fit in for HEIs also. The chart given below provides a summary picture of these functions.

Chart 5.1: Governance & Managerial Functions



Source- *Governance & Management, The World Bank*

As already written the emerging challenges are making the job of governing and managing HEIs very difficult. The gradual withdrawal of government from the field of higher education and emergence of private sector in the field in a big way is encouraging the academics to suggest the adoption of either Collegial (Middlehurst and Elton, 1992) or Managerial (Deem, Hillyard & Reed, 2007) governance processes, the resurgence of neo-nationalism in recent times is prompting governments in many nations to go for even increasing control over universities and colleges. This has made the question of ‘autonomy’ even more debatable.

The controversy over the ideal governance system is not an easy that could be easily settled. We can, at the present moment can only say that different governance systems have their own strengths, weaknesses and appropriateness and that system is the best which have some essential features required of good governance. These features are depicted in Chart 5.2 given below:

Chart 5.2: Features of Good Governance



Section-II Governance and Management Processes at Banaras Hindu University

The previous section makes it clear that governance and management system together reflect the way the HEIs are run. In order to evaluate these processes in BHU, it is imperative for us to convert the constructs given in Chart 5.2 in objective terms into variables. This is what we have done in this work and the summary is presented in form of Table 5.1

Table 5.1: The Measures of Governance & Management

SN	Construct	Variables
A.	Participatory	A.1. Leadership
		A.2. Participation in Decision Making
		A.3. Autonomy
B.	Equitable & Inclusive	B.1. Admission Process
		B.2. Appointment & Promotion
		B.3. Grievance Redressal
C.	Effective & Efficient	C.1.Provision of Student/Staff Related Facilities
		C.2. Examination & Evaluation
		C.3. Infrastructure
		C.4. Workload
D.	Transparent	Transparency in functioning of the administration
E.	Accountable	Accountability of functionaries
F.	Follows Rules and is Responsive	Responsiveness to societal needs and commitment to implementation of rules

We now briefly explain the governance and management processes at BHU:

Participatory

BHU has a huge structure and an army of administrative personnel comprising of registrar, joint registrars, deputy and assistant registrars with the help of support staff manage the day to day affairs of the University. Decision making and management is not an easy issue here as the University besides 5 institutes, 15 faculties and over 132 departments has to manage a Trauma centre three times the size of AIIMS Trauma centre and one of the largest hospitals (Sir Sunderlal Hospital) in northern India. The size of the University is its greatest strength and is also its main management challenge. Obviously the University governance has to take recourse to participatory management. The real issue is to judge the extent to which the participation is democratic, non-partisan and efficient.

Institutional Leadership

Leadership both at the University and Faculty and Department level is very crucial in ensuring effective functioning of a huge system like that of BHU. The University has a system of deanship/headship by rotation on the basis of seniority. The senior most Professor of the Faculty is made the Dean; in case of Head, the appointment is made among the Professors. In extraordinary case, when a department has only one Professor who has completed his term as head, then the headship goes to the senior most Associate Professor. Leadership by rotation in HEIs is a long drawn issue and it is not wise to indulge in a theoretical debate on this here. We fix our attention

to some pertinent issues raised here- *first*; leadership by seniority allegedly does not promote a performance based system. In many cases leader is a person who lacks vision, temper and enthusiasm to work. He believes in a status quo and resists change. Teachers suggested a system of choosing from among top 5 senior most people on the basis of leadership quality as a better alternative. *Second*, though leaders have defined duties and powers but there is no system in place to ensure that these are practiced. The Central Administration normally follows a policy of non-intervention and even if the leaders become autocratic or non-functional there is hardly any action or intervention on the part of the central administration. *Third*, the leaders felt that though they are answerable to the central administration for performance and functioning of their unit, they have limited or no coercive power. If their colleagues do not pay heed to their requests or directions, there is very little they could do. Junior colleagues whose promotion is due, to some extent listen to them but those who are already professors do not care at all. Thus, the administration at department level is teeth less.

Participation in Decision Making

The Participation in Decision making has already been presented in the previous chapter in form of a table, and hence we do not intend to discuss here the present status, we rather go for evaluation of the extent to which it's being done effectively to involve everybody and practice decentralized decision making in true sense.

A cursory look at the management structure as mentioned in the previous chapter reveals that the University follows decentralised decision making and teachers are involved in decision making process. A vast majority of faculty members during the focus group discussion supported and appreciated the system. There were however, some voice of concern and disapproval as well showing that the process needs to be further improved. The common issues raised were as follows:

1. Decentralisation at the faculty or department level varies with those at the helm. There are frequent cases where DCs are not called for months, its opinion is not taken, young teachers and the group which is not having good rapport with the Deans/Heads are not given opportunity to speak. The fault with the present system is that there is no effective mechanism to address this lacuna.
2. The senior teachers who are members of PPC hijack the DC. The research team also found that in one of the department that was chosen for study, despite written requests and verbal reminders of the team to call a meeting of all teachers for focus group discussion, the head called only senior teachers and the whole approach of those present in the discussion was authoritarian.
3. Young teachers who have lot of enthusiasm and energy and are even ready to work voluntarily in their area of interest are normally not made members of University level committees. Seniority and association with those at the helm is the criteria for being nominated in these committees. Thus, the senior people do not allow the decentralised system to function and

unfortunately, the central administration is either not aware of this or do not take any interest in resolving this.

The problem of decentralisation and participatory management is a very relevant issue for the Central Administration of the University. A large number of teachers and students complained about the bureaucratic functioning of the University administration. The Registrar of the University accepted that decentralisation is definitely required. Over the years the University has developed a system in which things have become very centralised- *first*, though the role of different functionaries are defined, still files relating to a number of issues with which the office of the registrar is not involved are routed through it (thus passing the buck system is followed by some), *Second*, there is crisis of confidence in the management due to which lower level staff is not ready to take decisions and eve for routine issues files are sent to top management, *third*, the system of delegation is not working well and responsibilities are vague in some cases, *fourth*, staff lack the right attitude in some cases and are therefore causing problem, *fifth*, despite all efforts the system to disseminate information is not fully functional, *sixth*, in some cases staff has developed apathy towards switching to computers and new system of governance etc. He reiterated that the administration is well aware of these lacunas and is geared up to handle the problem. The present administration is emphasising clear-cut division of responsibility with minimum of overlap to make the system vibrant and effective.

Student involvement in decision making is another issue of critical importance. Different Committees and Commissions have time and again stressed the need of involvement of students in the decision making process. Students union has been as such regarded as essential for involving students in the decision making process. BHU however has had a rather bitter experience of student union. In the past, union elections have resulted into violence and disturbed law and order situation. The University therefore banned any kind of union about a decade back and since then union election has not been held. Couple of years back when the then Vice Chancellor tried a modified version of union, it again resulted in disturbance.

The student community today stands divided on the issue of having a student union. Couple of years back when the administration conducted an opinion poll, majority of students was against having one. Despite this general opinion, most of the students felt that there is a need of involvement of students in the decision making process, the modalities of which they are not sure.

Autonomy

Autonomy is indeed a very crucial issue in higher education. However, since the issues of autonomy have been discussed in Chapter 4, discussing it here once again would be a sort of repetition.

Equitable and Inclusive

The governance and management process should create and promote a system which is equitable and inclusive. It should not leave any scope for any kind of discrimination and must ensure some preferential treatment to the relatively less privileged. The construct of equity and inclusion in the

present study has been attempted in terms of the (i) Admission Process, (ii) Appointments and Promotion made and (iii) Grievance redressal system in the University. The findings are presented here:

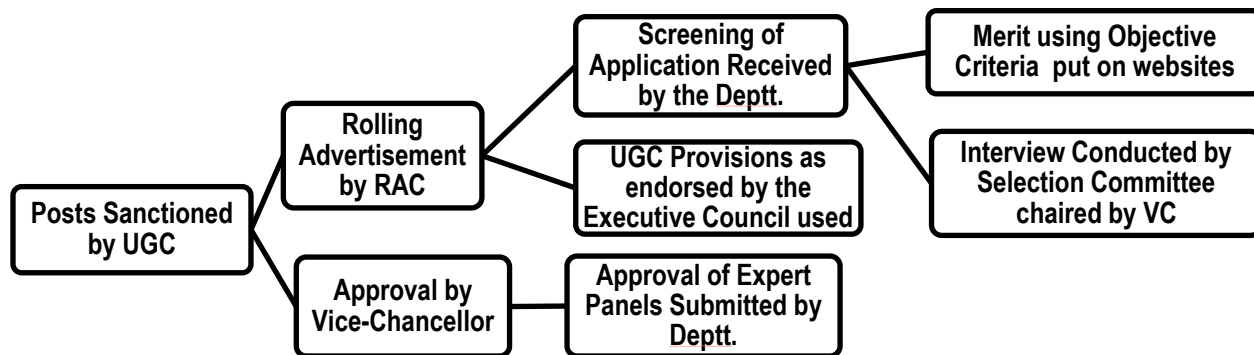
Transparency of Admission Process

BHU attracts students from all parts of the country. There is huge rush seeking admission to different programs. The admission process is transparent and the system has been tuned to make things convenient for the applicants. The Admission Process has already been explained in detail in previous chapter. We will just analyse the transparency of the whole process of admission. The system is transparent. Any grievance of applicants/candidates which the admission committees at the department or faculty level are not able to resolve is referred to the UACB. Teachers and students both give thumbs up to the transparency of the system. More than 91% of teachers and majority of the students say that they are fully satisfied with the objectivity of the process. From the governance side there is however some issues related to governance: first, it is a very lengthy and time consuming process. Guardians and applicants have to stay put in hotels and are made to wait for days together. Though the system has improved since the University shifted on the on-line process, still there are lot of scope for simplifying the process. *Second*, there are complains about the non-availability of information. Despite all efforts by the University to put information on line, make it available through newspapers and display boards at the admission centres, information gaps persist. *Third*, there are issues relating to management at the local/ admission committee level like not returning the original documents on time, delay in providing information, non-functional help desks, confusions and mistakes caused by entering incorrect information in the system etc.

By and large the admission process is very robust. BHU is perhaps the only University offering huge number of courses but still taking admission through entrance tests conducted every year. This process includes the admission to various UG, PG and Research courses offered in the affiliated colleges of the university. The management of the admission process is indeed very effective.

Appointment and Promotion

A primary concern for universities in India is creating confidence in the teaching staff that the system of appointment is non-partisan, objective, and timely and their performance as a teacher, researcher and participation in other academic and administrative work is taken into consideration during promotion decisions. The- University has a system of appointment that prima-facie looks objective and transparent. The process is explained through the following chart:



(RAC - Recruitment & Assessment Cell of the University headed by an officer of Joint Registrar rank)

The system is transparent and objective. The applicants submitted for different positions are screened by a committee constituted at the Department level. Using a given software and following UGC norm points are awarded i.e. API scores are calculated and then computer prepares the merit list. Normally for one post ten people are called for interview. The Head of concerned department submits the panel of experts and the Vice Chancellor ticks the name of experts who conduct the selection committee. The Selection Committee has Head of the Department as internal expert and Dean of the Faculty along with experts. The Selection Interviews are chaired by the Vice Chancellor and after the recommendation of the Committee final approval of the Executive Council is obtained. The system is open but still accusations of nepotism and favouritism and poor quality appointments are always made.

The promotion policy too is very objective.

The teachers were asked questions on these issues and the main findings could be summarised as follows-

1. Although during the last couple of years the University administration has taken the work of promotion very seriously and hundreds of teachers got promotion under different scheme, the general feeling of teachers is that the University does not have a declared policy and schedule for promotion of teachers. It all depends on the approach and attitude of Vice Chancellors. In some cases, and in some departments, promotion interviews are not held for years while in some departments, teachers are lucky to get promotion as and when it is due. In cases where promotion interviews are delayed teachers suffer and also feel demotivated. In the college, there was no backlog of CAS promotion due to the active role played by IQAC which closely monitored the process till 2015-16.
2. The promotion rules are not clear and keep changing. New Teachers are not aware of promotion rules and even some senior teachers have confusion as rules and their interpretation keep changing. In a number of cases the teachers felt that the interpretation of rules depends on evaluation of those at the helm or those whose cases are under consideration. Some teachers claim that, 'you show me the person; I tell you the rules' system prevails. One teacher, on the

condition of anonymity said, “Rules are there but their interpretation and implementation varies significantly between different regimes. There is serious issue of faith.” There was a clear resentment against those at the helm and many faculty members bluntly said that we must investigate how those who are at the top have reached there. Do they have the necessary publication, skill and ‘extra talent’ to have reached there? Clearly a distrust and reservation against the existing system was discernible among the teachers of the university.

3. In the absence of the ability of the management to create confidence among teachers in the veracity of promotion process, in stray cases Deans and Heads exploit young teachers and make them dance to their tunes.
4. Teachers (university and college both) by and large were very critical of the API System. They claimed that on account of this quality suffers, lot is left to the subjective evaluation of those doing scrutiny and a mad run for attending seminars, publishing and contributing in substandard journal etc. has begun and unfortunately everybody is suffering.
5. A critical issue in promotion is the criteria on which the applicant is to be evaluated. Table 5.2 given below shows that while research and publication is given its due, the same cannot be said about teaching. Only about 41.1% of those interviewed said that teaching is given importance. If we take into consideration another work of teachers i.e. advising and mentoring, the importance attached to this criterion in promotion is dismal. It came out in the focus group discussion as well that in Indian universities in general, teaching is given secondary importance. There is no scope for giving student evaluation/feedback of teachers’ any importance in promotion of teachers.

Table 5.2: Weightage Given to Different Criteria in Promotion Decision

Statement	Not at all Valued	Somewhat valued	Highly Valued
	Percentage	Percentage	Percentage
Research and Publications	1.1	28.9	70
Teaching contribution	21.1	37.8	41.1
Service (e.g. committee work)	17.8	53.3	28.9
Professional reputation	25.6	37.8	36.7
Advising and mentoring	26.7	51.1	22.2
Refresher Courses	3.3	42.2	54.4

Neglect of teaching in promotion is causing a number of problems:

- There is no recognition for quality and regularity in teaching. This is reflected in class room performance of the teachers.
- There is no accountability for teachers. There are people who do not engage classes and there is nobody to tell them anything regarding this.
- There is hardly any system in place for regular and objective feedback by students.

6. Although in general research is given weight in promotion but there is no consistency regarding this. Teachers claim that the efforts to promote research are missing. For conducting field work one has to take personal leave. There are different set of rules (project leave/duty leave) for different departments- departments with field work component face number of problems. Although research is awarded, yet there was a sense of scepticism among faculty members as the reward is not sufficient and is not exclusively based on the quality of work rather on subjective considerations. Recognition of good research work leading to Doctorate degree is not there. Good PhD and bad PhD are treated at par. This is reflected on a rather ordinary publication endeavour of teachers. Table 5.3 given below suggests that the publication record of teachers is not very attractive. Not only the mean is low but the standard deviation is very high showing that the value of mean is not very reliable and the actual position is much inferior to what the data suggest.

Table 5.3: Publication Record during the Last Couple of Years

Statement	Mean	Standard deviation
Papers for publication in peer-reviewed journals	4.68	4.811
Papers for presentation at conference	4.21	4.188
Books	0.33	0.600
Chapters in books	1.09	1.58
Monographs	0.10	0.425
Working Papers	0.64	1.376
Grant Proposals	0.27	0.667

Grievance Redressal

The University has a grievance redressal system in place. There exist separate grievance redressal committees for teachers, non-teaching staff and students. The members of these committees are nominated by the Vice Chancellor. The Committees have representatives from all quarters of University employees and also some external members. For example, the grievance redressal committee of non-teaching staff would have a number of representatives from non-teaching staff. The grievance committee meets on need basis (i.e. whenever it has grievances to address). In addition to a general grievance committee, the University also has SC/ST Grievance Cell, Women's Grievance Cell etc. to cater to the specific type of grievances.

As per the Clause 6.3 (C) of the University Grants Commission's Regulation on curbing the Menace of Ragging in Higher Educational Institution 2009, the University has an Anti-Ragging Cell that ensures that BHU is a ragging free campus. There are committees also at the Faculty level that coordinate with the Central Committee and educate the students about the evils of ragging, immediately intervene and conduct enquiries relating to any complaint of ragging and suggest panel action to the University authority. The Committee has been functioning smoothly and during the last few years, no major incidence of ragging has taken place in the University. The college has its own Anti-Ragging Cell and Anti-Ragging Squad and works in close coordination with the university cell. Till date, there has been no major complaint of ragging in the college too.

The system is very transparent. The aggrieved person makes a formal complaint in writing to the concerned cell/ committee. The Committee meets at regular interval or as and when need arises. The matter is discussed in the Committee and the concerned department/functionaries are also consulted to whom the grievance relates and then as per the University rules, appropriate decisions are taken and action is initiated.

The functioning is transparent and democratic showing the concern for the University in fairness and equity. The faculty members in general seem to be satisfied with the mechanism in place. Table 5.3 and 5.4 show the extent of satisfaction of those interviewed. It is clear that a staggering 88.9% of them are aware of grievance redressal mechanism and 77.8% accept that it provides solution to problems of harassment etc. The relatively low score for ‘prompt and effective disposal of grievances’ is understandable as in many cases the grievances are not genuine and hence not disposed in favour of the applicants. The low average dispersal in general speaks of the fairness of the system that does not leave scope for grievances.

Table 5.4: Grievance Redressal Mechanism

Grievance Redressal Mechanism	Percentage
Does university have grievance redressal mechanism?	88.9
Can faculty send in writing their grievances by email?	72.2
Is prompt and effective disposal of grievances done?	57.8
Does the cell find solutions for problems like harassment, complaints regarding housing, teaching, grievances relating to administration	77.8

Table 5.5: Average Number of Grievances Addressed

Grievances	Mean	Standard deviation
Grievances addressed	0.21	0.551

The primary issues raised against the grievance redressal mechanism both by teachers and students were- *first*, lack of information regarding existence of the grievance redressal mechanism, *second*, procedural delays in redressing grievances, *third*, partisan approach of the committee in stray cases, *fourth*, the non-existence of any informal grievance redressal process at the lower level. Quite a sizeable number of teachers felt that if the management promotes informal grievance redressal bodies then many of the issues would not escalate and the harmony at the lower level could be easily maintained.

Effective and Efficient

A prominent feature of quality governance and management process is its effectiveness and efficiency. The construct can be measured in various alternative ways. In order to maintain objectivity, we have identified few indicators (stated in Table 5.1) and we proceed to explain effectiveness and efficiency in terms of these.

The present study asked from teacher their opinion on effectiveness of the management process. The summary is presented in Table 5.6.

Table 5.6: Level of Satisfaction about Effectiveness of Internal Governance Processes

Governance Structures	Not at all	To Some extent	To a large extent
Openness	10	70	20
Accountability	8.9	67.8	23.3
Staff Participation	10	65.6	24.4
Student Participation	16.7	65.6	17.8
Coherence	10	70	20
Communication	7.8	62.2	30

The situation can hardly be called satisfactory. Under most heads the teachers are satisfied with the present governance structure to some extent only. About 20% of the respondents in general said that the present structure is by and large okay.

One important feature of efficient administration and governance is effective communication. The involvement of all stakeholders in some capacity or the other in the governance process is important but more important is free flow of information between them. There are issues with the communication mechanism in the University appearing primarily on account of the huge size of the University. As already mentioned, the University promotes participatory decision making and teachers are involved at different stages of the decision making process. Despite this, there is a general concern among teachers regarding different criteria mentioned above. The Central Administration has not been able to evolve a system whereby the process of decision making is known to everyone. Young teachers and subordinate staff normally do not have information regarding the way decisions are taken or the ground on which they are taken.

Provision of Student and Staff Related Services

The efficiency of the management process can be judged clearly on the basis of the way different staff and student related activities are created and maintained. Though, it is a routine kind of thing, yet it concerns everybody. The work therefore enquired from the students and teachers alike about the effectiveness of provision of different system. A brief description of the response is presented below:

Table 5.7: Efficiency of Basic Services to Students

SN	Registration Services	Percentage
1.	Officers in Office of Registrar Helpful	74.6
2.	Ease of Obtaining Marks sheets	84.7
3.	Ease of Registering for Classes	84.8
4.	Adequate Information About Registration of Classes	72.4

The job of providing basic information and facilities to students is working well. Table given above shows that students are by and large happy with the help and support of the office of the Registrar and happy with the ease of registering for classes and information relating to classes made available to them. The University follows decentralised system with different kinds of jobs being looked after by different Joint/Deputy Registrars. The admission work is looked after by the office of the Joint Registrar (Academic), examination by Controller of Examinations so on and so forth. The gradual shift to computer aided/online system has made things more convenient for students.

For example, the University declares admission merit list, allows fee deposit, filling up of examination form etc. online thereby simplifying things for students.

Facilities for Foreign Students: BHU has students from more than 39 countries studying in different courses. These students come from diverse socio-economic and cultural backgrounds. The issue of managing their affairs is a big challenge. The University maintains a separate International Student House as their residence and International Cell to look after their specific interest. During the focus group discussions, the foreign students were appreciative of the University infrastructure and helping attitude of teachers and staff, but emphasised the need for having (i) a formal system to brief the foreign students about the rules, regulations, provisions and procedures of the University, (ii) separate liaison officer that could handle their specific issues as the language barrier prevents them from freely interacting with university staff, (iii) provision of English medium classes in those departments where a handful of foreign students are enrolled.

In an era in which the nation is looking forward to opening the higher education sector fully under GATS, it is imperative for Universities like BHU which have high potential for not only attracting large number of foreign students but also opening their branches outside to develop a governance mechanism that could understand and devise a system that is friendly to foreign students. The University administration has to move a long way in this direction.

Level of Satisfaction for Services offered by the University

The University's management/support team claimed that it is dedicated to provide best services to teachers and students. The teachers and students however had a number of reservations against the quality of the service. They had complaints relating to (i) over bureaucratization of the university management system, (ii) partisan way in which a section of university employees' function, (iii) discouraging attitude of the finance section in issues relating to project expenses, (iv) lack of coordination between different sections/ departments of the Central Registry, (v) frequently are changing rules and regulations of the university etc. These things severely affect the performance of the teachers and students alike.

The end result of any management system in a non-profit making institution is obviously the level of satisfaction of the stakeholders which in case of a higher education institution are the teachers and students. The present work attempted to measure this and the Table 5.8 given below provides the summary result of satisfaction level of teachers of the University.

The Table reveals that on the broad 'overall job satisfaction' criteria more than 85% of the teachers interviewed accepted that they are satisfied or very satisfied. Though the salary and other financial benefits are in no way different from those in other universities, yet the privilege of working in a university of repute, infrastructure, availability of support services and overall the efficient functioning of the system taken together make the teachers feel satisfied. The Table shows that on all parameters like medical benefits, teaching load, job security etc. the teachers give a thumbs up to the management system.

There are two major areas in which the teaching community is not satisfied and unfortunately both are crucial. The first is quality of students which a substantial number of teachers are not satisfied with and second is rather poor prospect of career development. As far as the former is concerned, it has more to do with the teaching standards, courses, placement records etc. i.e. matters in which the teachers themselves are responsible. Opportunities for career development or the lack of it is something that the administration needs to address.

Table 5.8 Satisfaction with Different Aspects of Job

Aspects	Very Dissatisfied	Dissatisfied	Neutral	Satisfied	Very Satisfied
Salary	1.1	5.6	10	57.8	25.6
Medical Benefits	2.2	10	12.2	60	15.6
Retirement Benefits	3.3	16.7	16.7	47.8	15.6
Teaching Load	2.2	11.1	11.1	60	15.6
Quality Of Students	2.2	16.7	22.2	48.9	10
Professional Relation With Other Faculty	2.2	2.2	14.4	57.8	23.3
Job Security	0	4.4	3.3	56.7	35.6
Departmental Leadership	1.1	6.7	18.9	60	13.3
Prospects For Career Advancement	0	12.2	30	44.4	13.3
Overall Job Satisfaction	0	2.2	12.2	64.4	21.1

Table 5.9: Existence of Effective Policies

Policies	Presence in Percentage
Research and Publications Policy	35.6
Innovation, IP Ownership and Tech Foresight	27.8
Attracting Grants from National or International Sources	38.9
Encouragement and Support to Present Research at National Or International Conferences	66.7
Established linkages to promote international joint research and publications	42.2

The perception regarding policy effectiveness is however not found to be very encouraging. A vast majority of teachers are not aware of the research and publication policy of the University, its innovation policy and also provisions for attracting grants. Although, the teachers are by and large satisfied with the University's policy to promote participation in the international seminars (since the university gives some financial assistance for that) and also provisions for promoting international linkages (thanks to the recent endeavor of the present administrations to enter into MoUs with a number of foreign universities and promoting collaboration. The Central Administration is very clear and emphatic on existence of research and intellectual property right policy. The problem actually exists in dissemination of information. Because of the huge size, a number of provisions and initiatives of the University do not reach average teaching staff. This is a problem area and the management must address this issue.

Examination & Evaluation

A key characteristic of good governance system is the system of examination and evaluation put in place. The University administration on this criterion gets very high marks as the examination and evaluation system are widely acclaimed by students for regularity, transparency and for the ability to effectively test the taught. The office of the Controller of Examination has made the situation completely online- the students can fill up examination form online, they can download their admit card etc. The University has also started putting the mark sheets and certificates on line. These endeavours have really improved the efficiency of the system. This benefits the students of the university as well as the affiliated colleges.

Semester system is in place in University both at the UG and PG level and there is continuous evaluation of students. 30% of the marks are for internal assessment that gives teachers opportunity to give assignments, take presentations, conducts class tests etc. A minimum attendance criterion is enforced. The students in general approve the system. More than 80% of those interviewed said that they prefer semester system to annual system. The reason for the preference was obvious- getting an opportunity to study large number of courses, rigorous teaching possible and continuous assessment. Table 5.10 show that a very high percentage of students believed that semester system was far better than annual system.

Table 5.10: Reasons for Preferring Semester System of Evaluation

Reasons for Preference of the Evaluation System	Percentage
Gives more choices in courses to teach	86.9
Gives teachers more time to teach	69.5
Makes frequent assessment possible	81.3

The way any HEIs manages its examinations system and the feeling of the teacher and taught regarding the impartiality and efficiency of the system is very important. The study investigated the teachers and students on this and the results are presented in the table given below:

Table 5.11: Teachers' Perception about the Management of the Examination System

Admissions, Examination and Student Assessment	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
Transparency and Student Friendly Nature of Examination System	3.3	3.3	15.6	58.9	18.9
Sufficient Autonomy to Teachers	5.6	17.8	20	51.1	5.6
Load of Exam Work on Teachers is satisfactory	7.8	7.8	17.8	60	6.7
Exam System Gives Time To Teach	11.1	20	12.2	51.1	5.6
There is scope for Making Exam System Student Teachers Friendly	3.3	7.8	24.4	53.3	11.1
Assessment System being Appropriate to Judge Examinee Calibre	4.4	11.1	25.6	48.9	10
Student Assessment Ensure Timely Result	3.3	7.8	20	56.7	12.2

The Table clearly reflects that the University management of examination is highly satisfactory. The teachers believe that the examination system is transparent. The fresh endeavor of the University to give right to the examinees to see their evaluated answer sheets and the responsibility on the examiners to explain the awarding of marks has given further boost to the transparency quotient. The University has introduced the system of re-evaluation also. The examination schedule is student friendly, examinations are held on time and the office of the Controller of Examination ensures that results are timely published.

There were however few voices of dissent also. 60% of teachers feel that sufficient scope exists for improving the examination system. During the focus group discussion, teachers and quite a sizeable number of students pointed out the problems of the present system- *first*, there was a common feeling that lot of time is lost in examination and evaluation work and teaching days are seriously curtailed. *Second*, since a sizeable number of students are from outside Varanasi (in fact from far-off places in the country) after every examination they go back to their native places and there is undeclared vacation for a fortnight or so, this significantly reduces the number of effective teaching days. *Third*, semester system is suitable for small classes. In the University at the UG level average class size is more than 100 and even at PG level it is very large. Internal/continuous assessment in such cases becomes a formality. *Fourth*, the semester system does not give teachers opportunity to experiment and take students to the real world of knowledge. They are pressed up to finish the syllabi in time. The autonomy given to teachers is not satisfactory. *Fifth*, teachers also felt that the present system does not sufficiently test the caliber of the students. University needs to innovate and come up with new methods of implementation of the curriculum.

By and large, the examination and evaluation system is efficient. The overall size of the classroom is posing a problem. Teachers and students are gradually coming into terms with the system. The main problem is that bulk of the students in the University comes from relatively backward states and they find it difficult to get into terms with the system. For them teachers are not facilitators, they are tutors. This mindset is gradually changing and things are improving.

Provision and Maintenance of Infrastructure

There are primarily two issues relating to infrastructure: (a) Availability of infrastructure in comparison to needs and (ii) Maintenance and upkeep of infrastructure. BHU has got envious infrastructure considering the number of students, teachers and above all their increasing aspirations and expectations is treated insufficient. There is dissatisfaction relating to size of the class rooms, number of computer labs, internet/Wi-Fi facilities, laboratories, number of hostels, etc. Since the availability does not in any way relate to management rather availability of fund, we ignore this issue and turn our attention to maintenance of infrastructure.

The job of maintaining the infrastructure and also improving it is an enormous one. If the infrastructural facilities are not increased with increasing number of teachers and students and the existing infrastructure is not properly maintained, then it would be difficult for them to discharge their duties efficiently and effectively. The University has the following setup for the upkeep of infrastructure:

- i. A separate University Works Department managed by Superintending Engineer and a team of assistant engineers and junior engineers and staff that maintain the road network and buildings.
- ii. Electricity and Water Supply Department ensures water supplies in over 100 hostels and 700 plus residential accommodations.
- iii. Horticulture Department
- iv. Sanitary and Support Services

These departments maintain infrastructure as per a structured system. There are, however, questions raised about the efficiency of these systems. It is often argued that the University should rather outsource the support services as maintaining these cause (i) increase in workforce forcing the University to cut down on deployment of workforce on essential services, (ii) tremendous pressure on the University administration. The central administration has to devote its precious time in managing support services like university works, electricity etc. Many members of the University community feel that the University can very well outsource these and concentrate more on its core areas.

Distribution of Workload

The workload issue has already discussed in Chapter 4. We can only reiterate that the University management is able to manage the workload well and the staff feel that the workload is just sufficient and are able to give their hundred percent to their work.

Transparent- Transparency is another important criterion for evaluating the functioning of management system. It creates confidence of the people in the system and makes them understand that it is impartial, objective and inclusive. In the context of admission, examination, evaluation, promotion etc. we have already mentioned the extent to which the BHU management is considered transparent by students and teachers. One important aspect that we have not covered so far is transparency in appointments.

BHU being a Central University is bound by the UGC rules and regulations implemented by UGC without any exception. Thus, vaguely speaking the system is transparent but there goes the famous quote, ‘there are many a slip between the cup and the lip’. The teachers thus argue that there is more than sufficient scope for manipulation of rules or their interpretation and this is something that has been done in the university in different regimes. The common issues raised in the focus group discussion with teachers in different departments were as under:

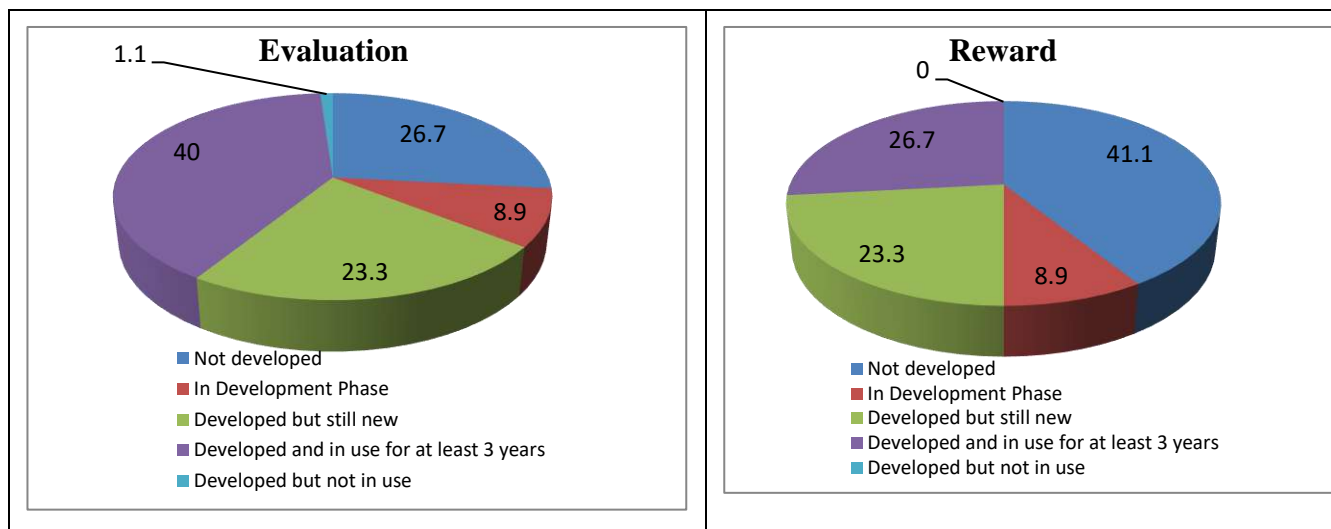
First, many teachers believed that the University does not have a clear and objective system in place. Posts are declared falling under reserved category or are withdrawn from reserved category at the sweet will of those at the top. Hence, if they have their candidate in a certain specialization and he/she belongs to reserved category, the available seat will be declared as falling under reserved category and vice versa. *Second*, normally the system is of calling 10 applicants per vacant post but at times the rule is flouted just in order to accommodate somebody whose rank is below 10. *Third*, in most cases cut-off is not declared by the RAC. *Fourth*, selection is based on

subjective assessment and the level of transparency varies between persons and Departments. Rules are there but their interpretation and implementation varies significantly between different regimes. There is serious issue of faith. *Fifth*, the University came up with a system of assigning quality score in scrutinizing the applications but quality score used by the University is not working. *Sixth*, the recruitment policy is not clear. Posts remain vacant for long duration and departments and students are made to suffer. The same applies for the affiliated colleges where the university has a major role in selection committee.

Accountable: For any management process to function smoothly, it is required that the functionaries who are given different kinds of responsibilities are accountable for that and in case they fail to perform as per set standard, actions are taken against them. A common cause of concern for the higher education system in India is lack of accountability of teachers. There is no system in place in most universities to evaluate the performance of teachers and punish or reward them. Perhaps we still believe in traditional value system which accorded teachers a special place in society and they were assumed to do no wrong. The absence of a system of evaluation has been very detrimental.

In order to test the extent to which the above system of evaluation and reward is inherent in the management process of BHU or not the present research investigated the teachers. The finding is presented in the Chart given below:

Chart 5.3: Teachers Perception on Prevalence of Institutional System for Evaluating & Rewarding Teaching Performance (% of Total)



The Table clearly shows that a good majority of teachers accept that the system of evaluation exists (8.9%), is developed (23.3%) and in use for the last 3 years (40%). The system however, most of them lamented, is a rather informal one with the assessment being made by Head and peers on the basis of informal feedbacks from the students. There is no dependable feedback mechanism put in

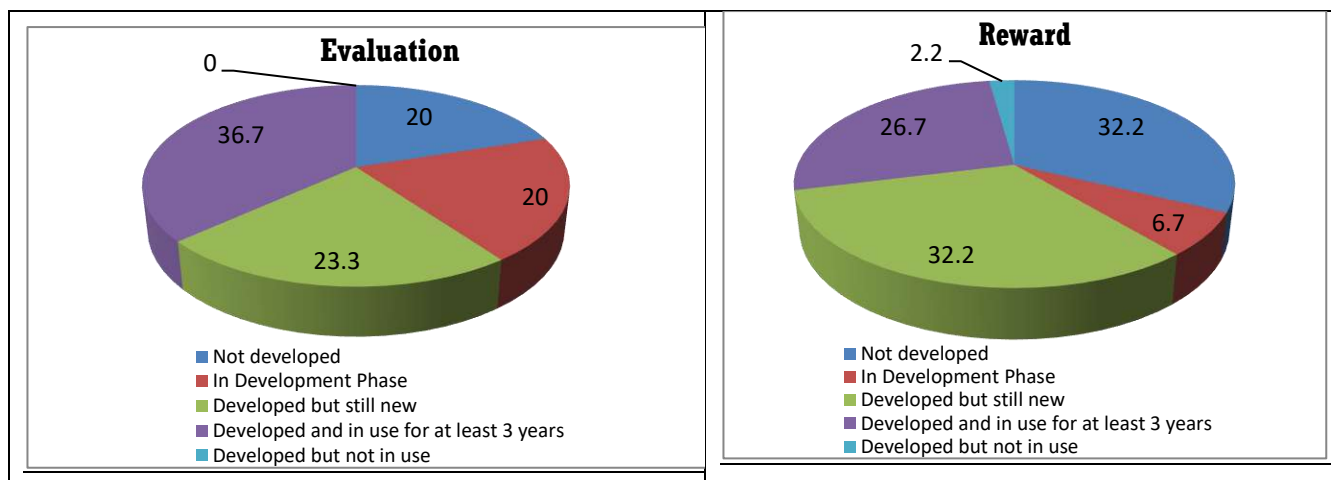
place whereby the students including research scholars could give objective feedback on teaching skill, regularity and effectiveness of different teachers.

What is worrisome is that majority of teachers feel that there is no system to reward committed teachers. Teachers who have appeared for promotion interviews or are preparing for the same, said that although the detailed forms filled up at the time of promotion has columns for teacher’s self-assessment of his teaching job but it is never given credence. There is hardly any example of committed teachers being given even a letter of appreciation and definitely no incidence of any punishment for the defaulters. Much of the problem is at the faculty or department level where the respective Deans/Directors or Heads do not want any confrontation with erring teachers and thus do not reprimand anybody for shirking teaching work. Some teachers felt that if you shirk classes and attend seminars and do some projects you are rated superior to the ‘gurus’ who teach.

This absence of reward and punishment for teaching has led to the quality of teaching taking a dip and teachers treating it as of secondary importance.

The situation of evaluation and reward of research is slightly better. Chart 5.4 given below suggests that a good percentage of teachers feel that the system for evaluating teachers exists and though it is new, it is in use. There was difference among faculties on this count. While in the Institute of Medical Sciences and Institute of Science, the system of evaluating research and rating a teacher from his/her research output is strong, the same cannot be said about Social Sciences, Arts and Education. There are two main reasons for this: *First*, while in sciences there already exists a robust system of evaluating the quality of research done through publication in journals with impact factor, in social sciences the line between good and average and average and poor journal is blurred. *Second*, the peer pressure in sciences is very strong and teachers who are not involved in research are branded as ‘non-performers’, in social sciences it is not strong as a good majority of teachers are not doing any projects and their research contribution is limited to the stray articles that they write or PhD they supervise.

Chart 5.4: Teachers Perception on Prevalence of Institutional System for Evaluating & Rewarding Research Performance (% of Total)



Teachers also lamented that the University has not evolved a very robust system of rewarding research. The rather obtrusive approach of the finance and development department of the university that create a web of rules and regulations discourage teachers from doing projects.

The approach of the Central Administration on the accountability issue is very obvious and democratic. The Vice Chancellor of the University felt that the teachers in this country have always been given a revered position because they are self-motivated and understand their responsibility. He believed that majority of the teachers of the University understand their responsibility and leave no stone unturned to do their best. The Registrar of the University accepted that there could be defaulters but said that in the University system where administration only plays a supportive role, it is difficult for it to monitor teachers and take action against the erring teachers. Most of the Committees are headed by teachers and unless teachers themselves take initiative and the Directors, Deans and Heads develop a carrot and stick policy, it would be difficult for the Central administration to do anything.

Responsiveness: The responsiveness of the University administration to changes taking place is another indicator of the efficiency of the management process. The Central administration over the years has beautifully adapted itself to new challenges and developments. The following developments provide a summary picture of such moves: *First*, the top management has encouraged faculties and departments to come up with new programmes and courses commensurate with changing requirements in the job market. Skill development Centres have been promoted which provide skill training to students on part time basis. *Second*, it has promoted decentralisation of power by allowing formation of institutes and giving more administrative and financial powers to the Directors of such institutes. *Third*, in order to bring efficiency in the huge system, gradual shift to online system of admission and examination has been promoted. *Fourth*, in order to keep pace of top institutes of the world international collaboration has been promoted. *Fifth*, for recruiting and selecting competent personnel, a system of rolling advertisement has been introduced. *Sixth*, for promoting skill development of staff different kinds of assistance -financial, academic etc. to teachers has been promoted. The list of such measures is very long and there is ample evidence to indicate that the administration has been responsive and pro-active in this sphere.

Section III Conclusion

A brief perusal of the governance and management process at the Banaras Hindu University reveals that considering the magnitude of the task (of managing such a huge institution), the BHU administration is doing a remarkable job. The challenges are indeed enormous but the performance is praiseworthy.

Table 5.12: Overall Experience of Students at this university

Your Experience At This University	Frequency	Percentage
Very Dissatisfied	20	3.2
Dissatisfied	47	7.5
Neutral	101	16.1
Satisfied	369	58.9
Very Satisfied	89	14.2
Total	626	100.0

The Table given above shows that at a time when the students have become so demanding and conscious about the quality of services offered to them, bulk of the students (both at university and college) seem to be satisfied with overall experience at the University. The view of teachers is no different. Although they are critical of the functioning of the administration relating to some issues, they are appreciative that the job they perform is not that easy and the Central administration is doing a wonderful job.

Chapter 6

Good Governance: Lessons Learnt

Introduction

Higher education in terms of level includes college and university teaching-learning towards students' progress to attain higher education qualification. Ronald Barnett in his book *Improving Higher Education: Total Quality Care* (1992) talks about four predominant concepts of higher education:

- i. *“Higher education as the production of qualified human resources.* In this view, higher education is seen as a process in which the students are counted as “products” absorbed in labour market. Thus, higher education becomes input to the growth and development of business and industry.
- ii. *Higher Education as training for a research career.* In this view, higher education is preparation for qualified scientists and researchers who would continuously develop the frontiers of knowledge. Quality within this viewpoint is more about research publications and transmission of academic rigour to do quality research.
- iii. *Higher education as the efficient management of teaching provision.* Many strongly believe that teaching is the core of educational institutions. Thus, higher education institutions focus on efficient management of teaching- learning provisions by improving the quality of teaching, enabling a higher completion rate among the students.
- iv. *Higher education as a matter of extending life chances.* In this view, higher education is seen as an opportunity to participate in the development process of the individual through a flexible, continuing education mode.” (NAAC, 2006:5)

These four concepts of higher education are not mutually exclusive; they are integrated and give an overall picture of what ‘higher’ is in ‘higher education’. Teaching, research and extension form the three main functions of higher education as specified by Kothari Commission.

Education is now considered to be a major component of economic development and Human Development Index (HDI). Higher education is considered to be a vital input in human development and social development in all the societies. ‘The tertiary level of education provides not only the high level skills necessary for every labour market, but also the training essential for teachers, doctors, nurses, civil servants, engineers, humanists, entrepreneurs, scientists, social scientists and myriad personnel. It is these trained individuals who develop the capacity and analytical skills that drive local economics, support civil society, teach children, lead effective governments, and make important decisions which affect entire societies’ (World Bank, 2002). The role of the Higher education in terms of level includes college and university teaching - learning towards students' progress to attain higher education qualification. Ronald Barnett in his book *Improving Higher Education: Total Quality Care* (1992) talks about four predominant concepts of higher education:

- v. *“Higher education as the production of qualified human resources.* In this view, higher education is seen as a process in which the students are counted as “products” absorbed in labour market. Thus, higher education becomes input to the growth and development of business and industry.
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Education is now considered to be a major component of economic development and Human Development Index (HDI). Higher education is considered to be a vital input in human development and social development in all the societies. ‘The tertiary level of education provides not only the high level skills necessary for every labour market, but also the training essential for teachers, doctors, nurses, civil servants, engineers, humanists, entrepreneurs, scientists, social scientists and myriad personnel. It is these trained individuals who develop the capacity and analytical skills that drive local economics, support civil society, teach children, lead effective governments, and make important decisions which affect entire societies’ (World Bank, 2002). The role of the state with the coming of globalization and entry of market forces has undergone a drastic change. The HEIs have responded to the situation by becoming entrepreneurial and the ‘governance and management of institutions has become market oriented and managerial in approach’. Thus, the question of governance and management of higher education in India becomes more pertinent and vital. The state, the market and the society are the three players influencing the management decisions in higher education. One needs to delve into its different dimensions and explore how to impart good elements into it through the study of selected universities and its affiliated colleges. This is the rationale behind the study of governance and management in selected universities of India. This chapter deals with the concept of governance especially in relation to higher education, the different models of governance and decision making

¹*Quality Assurance in Higher Education An Introduction* (June 2006), NAAC Bangalore & Commonwealth of Learning, Vancouver, Canada,p.5

process and the actual situation in BHU and its affiliated college based on the data collected and discussed in previous chapters. It will also delve into issues and challenges in achieving good governance.

The Concept of Governance

The term governance was used for the first time by World Bank in its report *Sub-Saharan Africa: From Crisis to Sustainable Growth: A Long-Term Perspective Study* (1989). It talked about a 'crisis of governance' leading to ineffective outcome of fiscal and economic policies. It emphasized on managerial and administrative competence to improve governance (World Bank, 1989; World Bank, 1992). World Bank redefined the role of state in Sub-Saharan Africa and shifted the focus from government to governance. "...this shift reflected the ascendance of neo-liberal ideology in economic theory and public policy from the 1970s in the western world" (Kuldeep Mathur, 2008, 2015:5). World Bank defines "governance as the institutional capacity of public organizations to provide the public and other goods demanded by a country's citizens in an effective, transparent, impartial and accountable manner, subject to resource constraints" (Kuldeep Mathur, 2008/2015:6).

In simple terms, governance as defined by United Nations Economic and Social Commission for Asia and the Pacific² means "**the process of decision-making and the process by which decisions are implemented (or not implemented).**" It further speaks about 8 major characteristics of good governance. It is participatory, consensus oriented, accountable, transparent, responsive, effective and efficient, equitable and inclusive and follows the rule of law (Refer Chart 5.2 and the explanation given in Chapter 5).

In India, the term governance gained prominence with the liberalization of the Indian economy in the 1990s. The Tenth Five Year Plan (2002-2007) for the first time talked about good governance as a crucial factor to meet the development agenda of the plan period. It defined governance "as the management of all such processes that, in any society, define the environment which permits and enables individuals to raise their capability levels, on one hand, and provide opportunities to realise their potential and enlarge the set of available choices, on the other"(Mathur, 2008/2015:12). This notion of good governance was carried forward in the Eleventh Five Year Plan (2007-2012) and the Approach Paper clearly stated 'all our efforts to achieve rapid and inclusive development will come to naught, if we cannot ensure good governance in the manner public programmes are implemented and, equally in the way government interacts with the ordinary citizen (Mathur, 2008/2015:12). Higher education certainly comes under the ambit of the government programmes and it certainly needs the yardstick of good governance if India wants to be a leading world power. Education is the catalyst of social as well as economic transformation. The term governance is used in different ways and has different meanings in different contexts. Stoker (1998) talks of five dimensions of governance:

² For details see URL www.unescap.org/pdd

- Governance refers to a complex set of institutions and actors that are drawn from but also beyond the government.
- Governance recognizes the blurring of boundaries and responsibilities for tackling social and economic issues.
- Governance identifies the power dependence involved in the relationships between institutions involved in collective action.
- Governance is about autonomous self- governing networks of actors.
- Governance recognizes the capacity to get things done which does not rest on the power of the government to command or use its authority. It sees government as able to use new tools and techniques to steer and guide. (Cited in Kuldeep Mathur, 2008/2015:5).

The working definition of governance implies structures and decision making processes while management stand for implementation of decisions – allocation of resources towards various activities, allocation of work responsibilities to various groups, and the evaluation of performance. In the present time, the state, the market and the society are the three important players influencing management decisions in higher education.

In recent times, higher education analysts have focused on globalization and its impact on the role of the nation- state, and how this translates into the relationship between the nation - state and universities. The reforms in all countries are reflective of a shift in provision and management of higher education towards a new paradigm of ‘new public management’. This entails a reduced reliance on the state for funding and control but the state will continue to play a role in providing a framework for other non - state actors to intervene- steering from a distance. In these reforms there was a redefinition of the relationship between the state and institutions of higher education. The initial reform efforts provided four models of governance: the market model, the participatory state model, the flexible government model and deregulated government models.

According to M. Anandkrishnan (2010: 21), “Internationally, the benefits of good governance are reflected in high achieving institutions that demonstrate:

- Integrity in appointments at all levels, both external and internal.
- Strong leadership and management skills in all of the places where they are needed.
- Processes in place for monitoring the quality of teaching and learning, and within institutions for improving that quality with appropriate student involvement.
- Processes in place to deliver improvements in research quality (assuming that there is significant research activity).
- Lean and competent administration.
- Robust and transparent financial systems, not least on procurement, and strong internal and external audit.
- Effective and transparent mechanisms to determine remuneration at all levels.

- Strong human resources process, for example on appraisal, development and dealing with poor performance.
- Effective student support arrangements.
- Student participation in management and governance at all levels.”

Chandra P. (2012) writes that governance in academic institutions is about

- Ensuring that the university is being run true to its charter
- Creating an environment of excellence in learning and innovation
- Developing and steering the institution on the basis of a shared vision of the institution
- Defining roles of various stakeholders: Students, employees, university leadership, boards/executive councils, alumni, government, funding organizations, recruiters, etc.
- Securing and safeguarding its autonomy: academic, administrative, financial
- Enforcing accountability of various stakeholders
- Navigating through organizational management and influence, and
- Managing long and short term finances.

The governance system of any Higher Education Institution “comprises the structure of governance (i.e. the sponsoring agency and their intermediaries, the governing bodies, the executive, current employees and the students), the policies/rules/processes that govern the institutions, the inter-relationships between various groups comprising the governance structure, processes for reconciling short term and long term objectives, and the renewal system. It is the interplay of these elements that defines how well the institutions will be able to meet their objectives.” Chandra P. (2012)

Models of Governance

There are different models of governance which one can find in the institutions of higher education. This has been discussed by scholars like Pankaj Chandra and others. One model which is frequently seen is the bureaucratic model. In this model, the government bureaucracy controls the governance of the institutions. This is seen mostly in state universities and their affiliated colleges which are generally large in number. The whole agenda of the university (the rules and regulations governing these institutions, admissions, examination including entrance, appointments of VC, Registrar, teaching faculty, etc.) is controlled directly or indirectly by the concerned state government. They do follow the UGC Regulation regarding appointment, promotion, etc. but many a times there are cases of deviance and irregularities. This state control is also due to the fact that Governor of the state is the Chancellor of all the state universities. The state universities and colleges are controlled and regulated by the state government in practice. They are over-regulated and controlled by the concerned state government. The state-controlled model is the most common governance pattern found in India.

Another model is witnessed in the central universities where there is no interference of the state government. As the VC is appointed by the central government, he or she tries to govern through rigid rules. As they receive their funding directly from UGC/MHRD, they are in a way dependent on them. They have in a sense more autonomy in administrative and day to day running of the university. In financial matters, they are bound by central government financial rules like General Financial Rules, 2005 and accounting principles of the government. The interference is negligible unless warranted. The third model is seen in stand-alone institutions like IITs, IIMs, AIIMS, TISS, etc. The institutional autonomy works relatively well in these institutions. In these institutions, the role of faculty is very important; the institutions by and large follow the decisions of the faculty. The non-compliance may lead to a situation of conflict. The situations in these institutions are due to the fact that they are small in size and hence are easily “faculty governed”. They generally don’t have a very good rapport with the government agencies like AICTE, MHRD, etc.

With the massification of higher education in India, we have seen the expansion of private universities and colleges in large numbers. They represent a different model of governance. These institutions are rigidly “controlled by their promoters, are mostly run like family businesses with low faculty participation in governance, are mostly low on transparency, and have yet to establish quality in both academics and governance (of course, few exceptions do exist here as well – obviously, the question is whether Indian higher education system runs on exceptions?).” (Pankaj Chandra, 2012).

A model of shared governance (a modified version of Lapworth Model, 2004) portrays the interactions amongst the diverse groups so that a representation of a governance process as a shared responsibility can be attained and be directed to achieve the university objectives within the legalized framework. The flexible shared governance model portrays inter-linkages among Faculty, Management, Board, Senate, and Strengthened Steering Core. The public universities are functioning within a sphere of a legal framework although they have a certain degree of autonomy with visions and missions that have driven, shaped and influenced the universities core functions and activities.

The **Regulatory State Model** is generally contrasted with that of the supervisory state (or of external steering). In this model, institutions are given wide autonomy in different areas. Control is based on the definition of national objectives which must be implemented by the institutions, the transparency of institutional policies as well as various accountability measures for institutions or their staff. External steering is also seen in the growing influence of external stakeholders in the governing bodies of institutions in particular.

The **Supervisory State Model** often involves the stimulation of competition between institutions. At institutional level, three major types of governance were also used as a reference. These included the academic self-governance model; the management self-governance, whereby the management of an institution holds a strong position in defining objectives and decision making; and finally, the entrepreneurial university model, which involves diversified funding sources and the development of partnerships with the private sector.

The most significant governance trend in higher education has been the widening of institutional autonomy, both substantive and procedural, such as increased institutional discretion over the use of financial and physical capital to greater authority over personnel matters (Eurydice, 2008). The three players influencing management decisions in higher education are the state, the market and the society at large. Changes in the governance imply changes in the way the relationship between the state, the market and the civil society are structured and monitored. Some of these changes that have taken place recently in role of the state in higher education are:

A shift from (i) Planning for the higher education sector isolated from national or state priorities to strategic planning linking higher education to the future competitiveness of the country or state;(ii) Centralized control and regulation with limited institutional autonomy to steering “at a distance,” emphasizing decentralized institutional governance and using finance policy (e.g. incentives and performance funding) to ensure that institutions respond to public priorities;(iii) Subsidy of public institutions, and resource allocation based on inputs and cost reimbursement for specific line items to funding of institutions based on outcomes, resource allocation based on performance, Block grants to institutions to allow discretion over spending of allocated resources and subsidy of students through student grants;(iv)Quality assurance related primarily to public institutions (mainly in-country/state) to Quality assurance (QA) related to multiple public and providers (public and private, cross-border, open/distance learning, etc.).QA reflect diversity of institutional missions and objectives.(v) Accountability based on inputs to accountability based on outcomes/performance and evidence of cost effective and efficient utilization of resources. [Adapted from OECD (2006)]

Models of Decision Making in Governance

Decision making as a process takes place at various levels – individual, collective, group and organizational and involves diverse variables as cognitive capabilities of decision makers’ mind, communication of ideas and values among individuals, and mathematical calculations that are intended to identify the optimal choice. The various models are discussed in brief:

The Rational Model

This model of decision making is a multi-step process for making choices between alternatives. This process puts greater value on order, logic, objectivity and analysis over subjectivity and insight. This model is a process for making sound decision in policy making in the public sector. This model is opposite of intuitive decision making model.

The Collegial Model

In this model, the colleges and universities make most of their decisions directed by the faculty, acting as peers who reason together toward their common goals. The decisions are taken through consensus rather than division or conflict. This model is responsive to the requirements of their professional colleagues. The focus is on ‘authority of expertise’ rather than ‘official authority’.

The success of this model totally depends on the attitude of the faculty members and head of the educational institution.

The Political Model

This model's main features are pluralistic, conflicting goals, values, objectives marked by diversity of interests. There is a lack of shared goals. There is a condition of uncertainty/ ambiguity with inconsistent viewpoints. Bargaining, discussion and compromise among the members lead to problem solving and decision making. It is a typical, sometimes appropriate model for inter-departmental decisions. Conflict resolution is the basis of arrival at a decision.

The Bureaucratic Model

This model is derived from Max Weber's theory that bureaucracies will eventually perform like ideal instruments, will act as a force for change and considerably affect modern societies and their governance. It is marked by a high level of consensus as they have clear marked and consistent goals.

The Organized Anarchy Model

This model is characterized by organized anarchy, which is, ill defined goals, unclear technology, fluid participation and ambiguous history. Cohen and March (1972) in their study of university leadership, identified the characteristics of this decision making model as diversity of goals, ill-understood technology, and scarcity of time and resources. The ambiguity created by these characteristics made purposeful forms of action impossible. Since the technology whereby the organization produces outcomes is not clearly understood, cause-effect relationships are unknown and hence cannot lead to the matching of problems with right solutions.

The Democratic Model

In this model, majority vote decides the action. This happens only when the leader gives up ownership and control of a decision and allows the group or the stakeholders to vote. This is marked by a fairly fast decision, and group participation. The demerit of this model is that no single individual owes responsibility neither the group owes the responsibility for the decision implemented.

The Collective - Participative Model

This is the most common style of decision making employed by leaders in various fields. In this model, the leader involves the members of the organization in decision making. The level of involvement is discerned through sharing of ideas, perceptions, knowledge, and information with the leader. The leader takes the final decision and is solely responsible for its outcome whether good or bad. The merit of this model is that the members or the stakeholders have a sense of participation and involvement in decision making which can be self-satisfying. The demerit of this model is that it is time consuming and is a very slow process.

The Consensus Decision Making Model

This is a creative and dynamic method of seeking an agreement within the complete group by reaching a consensus rather than voting. In this model, the leader gives up his power of taking decision and the whole group is involved in the decision making process. The leader is not alone responsible for the decision's result rather the whole group is responsible for the outcome. The merit of this model is the group responsibility for the outcome, teamwork leading to accurate decision and success. The demerit is that it is a very slow and time consuming process.

The Managerial Decision Making Model

This model is generally found in the private sector which is characterized by corporate style governance and management practices.

Governance and Management in University and College

In this section, we will examine the actual situation in the university and its chosen affiliated college regarding the model of governance, the centralization or decentralization, academic, administrative and financial autonomy, as the case may be. "There are some principles of governance (such as the maintenance of a clear chain of responsibility, delegation of functions and authority, insistence on economy and efficiency) which are common to all organizations."³ The other aspects of good governance as discussed above will certainly include participatory, consensus oriented, accountable, transparent, responsive, effective and efficient, equitable and inclusive and follows the rule of law.

Administrative Autonomy

The participation of teachers and students in the governance process can be considered as a major characteristic of good governance. We find that 11.1% of teachers have a great deal of involvement in the governance process while 36.7% teachers have somewhat involvement in the governance process (refer Table 6.1). Considering the huge size of the university having a massive bureaucracy of its own, the involvement of teaching faculty in governance process is optimum and desirable to the extent it is at the present time. The main functions of any university are 'teaching, research and extension'.

Table 6.1: Teacher's Involvement in Governance Process

Your Involvement In Governance Process At Campus	Frequency	Percent
Not at all	6	6.7
Not Much	26	28.9
Neutral	15	16.7
Somewhat	33	36.7
A great Deal	10	11.1
Total	90	100

³ Education and National Development, Report of the Education Commission 1964-66, Vol. 3: Higher Education, NCERT, New Delhi, 1966,p.595

The teaching faculty does serve on different committees at different levels as depicted in Table 6.2. This is also conveyed by the Deans and Heads in their interviews and supported by teachers in their Group Discussion. Teachers are members of various committees like Department Council, Department Research Committee (DRC), etc. This is mostly at department level or college level. The participation needs to be made more in the days to come to make the governance model more participatory. Sometime it is more out of compulsion that teachers are co-opted in the major committees rather than by choice of a democratic participation. In the major committees like Finance/ Purchase Committee, the representation of senior faculty members are nil or nominal at college level. The Management through the Manager, Finance Manager or the official of the Trust running the college tries to control the whole process. The process many a time is not that transparent. The University has a more transparent process of committee formation but here also the university bureaucracy dominates but the teacher members, especially the senior faculty members have a say.

Table 6.2: Committees served on within last year

No of Committees served on within Last Year	Mean	Standard Deviation
Departmental level	2.16	3.15
University level	0.97	1.328
College level	1.30	1.99
External committees or boards	0.81	1.208

(Also refer to Table 4.4 in Chapter 4)

The committee in which a faculty wants to serve in majority of cases (76.7%) is not decided by the concerned faculty member. It's only in about 23.3% of the cases that the teacher's opinion is taken into account. This is clearly depicted in Table T6.3. The decision to serve in various committees at university level is taken by the concerned Deans followed by the Head of the concerned department or the Vice Chancellor. At the college level, the various committees are constituted by the Principal (Refer Table 6.4) and sometimes IQAC Coordinator is consulted regarding certain committees. The Committees are generally formed for two academic sessions. It is desirable that the role and function of various committees at college/ university level is clearly stated in black and white and the composition is also clearly stated in terms of officials, faculties (senior, middle level, junior), etc. who are supposed to serve in the concerned committees. This can follow the pattern of committees constituted as per UGC/NAAC guidelines where the composition and functions are clearly stated.

Table 6.3: Decision on which committee to serve

Decide on which Committee to Serve	Frequency	Percentage
Yes	21	23.3
No	69	76.7
Total	90	100

(Also refer to Table 4.5 in Chapter 4)

Table 6.4: If no, who takes the decision regarding nomination to any Committee?

If No, Who Takes Decisions	Frequency	Percentage
Head of the Department	15	16.7
Deans	28	31.1
Vice-Chancellor	15	16.7
College Principal	20	22.2
Total	78	86.7

(Also refer to Table 4.6 in Chapter 4)

Shared Governance

‘Shared governance’ as an important component of the HEI’s vision and identity was considered important by 58.9 % of the faculty members while 35.6% considered it to be very important. This depicts that the majority of the teaching faculties considered shared governance to be of paramount importance. Shared governance need to be promoted in all HEIs. The composition of Managing Committee at college level should be clearly demarcated by UGC or the affiliating university. In the present scenario, except the two University nominee nominated by the Vice Chancellor, all other members are of the Trust running the college; two or three teacher representatives are not chosen by the teaching faculty rather chosen by the Principal of the college. There is no representation of the non-teaching staff. Many a times the Managing Committee just is a passing body with no control over major financial and administrative matters. Many important matters are not even brought into the notice of the Managing Committee. The colleges all over India which receive funding from UGC/ State government or even are self-financing, the composition and its wide ranging power of the Managing committee should be clearly spelt about and it should be binding on all. At least fifty percent of the members of Managing Committee should be outside members being experts of higher education, one financial expert, etc. The ideal size of the Managing Committee/ Governing Body should be 10-12.

Table 6.5: Shared Governance as important part of institution’s value and identity

Shared Governance Views	Frequency	Percentage
Not Important	5	5.6
Important	53	58.9
Very Important	32	35.6
Total	90	100.0

Internal Governance Structure

The extent to which the present internal governance structure of HEIs is characterized by openness (clear understanding of procedures, access to information), accountability (monitoring and reporting systems), participation from staff, participation from students, effectiveness (meeting important institutional objectives), coherence (policies are integrated across different policy areas, and across faculties/departments), and communication (use of e-mail, SMS, phone to communicate decisions is done effectively) is shown in Table 6.6. The majority of the response is for ‘to some

extent' followed by 'to a larger extent' and minimum percentage is for 'not at all'. The various parameters of internal governance structure are very much present in the university and its affiliated college. But the shift must be towards a large extent rather than to some extent. The participatory model of governance needs greater participation of students and teachers followed by openness and accountability. This is the desired goal and more need to be done in this regard.

Table 6.6: Internal Governance Structure

Governance Structures	Not at all		Yes, To Some extent		Yes, To a large extent	
	Frequency	Percent	Frequency	Percent	Frequency	Percent
Openness As Characteristic For Higher Educational Institution	9	10.0	63	70.0	18	20.0
Accountability As Characteristic For Higher Educational Institution	8	8.9	61	67.8	21	23.3
Staff Participation As Characteristic For Higher Educational Institution	9	10.0	59	65.6	22	24.4
Student Participation As Characteristic For Higher Educational Institution	15	16.7	59	65.6	16	17.8
Coherence As Characteristic For Higher Educational Institution	9	10.0	63	70.0	18	20.0
Communication As Characteristic For Higher Educational Institution	7	7.8	56	62.2	27	30.0

The student's perception regarding governance and management of HEIs is discerned through their experience at the university/college (Table 5.12 of Chapter 5 and Chart 6.1) which shows almost 58.9% being satisfied by their overall experience at the university/college. 14.2% of students are very satisfied followed by 16.1% who are neutral in their perception. The percentage of students being dissatisfied (7.5%) and very dissatisfied (3.2%) comes to about 10% which is a low figure. Thus, overall experience of students who come from different parts of India is quite satisfactory.

Chart 6.1: Overall Experiences at the University

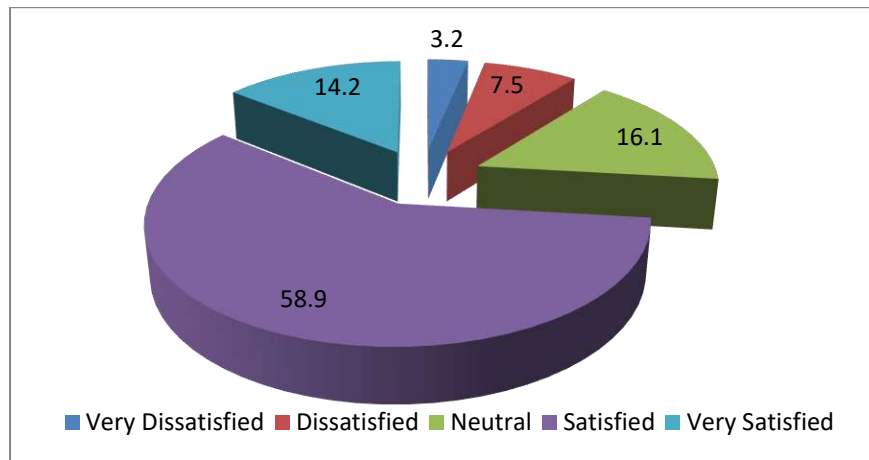


Table 6.7: Students' Experiences at University

Experience at Your university	University				College			
	Post-Graduate		Under-Graduate		Post-Graduate		Under-Graduate	
	Frequency	Percent	Frequency	Percent	Frequency	Percent	Frequency	Percent
Very Dissatisfied	10	5.6%	6	2.1%	0	0%	4	3.9%
Dissatisfied	13	7.3%	23	8.0%	0	0%	11	10.7%
Neutral	27	15.3%	59	20.4%	5	8.8%	10	9.7%
Satisfied	106	59.9%	165	57.1%	42	73.7%	56	54.4%
Very satisfied	21	11.9%	36	12.5%	10	17.5%	22	21.4%
Total	177	100%	289	100%	57	100%	103	100%

(Also refer to Table 5.12 in Chapter 5 for an overall perception of all students combined.)

Transparency and ease in getting the academic related work done is also a part of good governance. The overall experience of the students in the registration services as shown below in tables. The Table 6.8 shows an overall perception and the second one shows the perception separately for university and college students. The percentage in affirmation lies in the range of 72% to 85% which is above the normal average. Majority of the students are satisfied with the services offered by the university registry. This is a welcome sign for any university as far as good governance is concerned.

Table 6.8: Registration Services (Overall Response of Students)

Registration Services	Frequency (Yes)	Percentage
Officers In Office Of Registrar Helpful	467	74.6
Ease in Obtaining Mark sheets	530	84.7
Ease to Register For Classes	531	84.8
Adequate Information About Registration Of Classes	453	72.4

Table 6.9: Registration Services (Response of Students- University & College segregated by UG and PG Level)

Registration Services		University				College			
		Post-Graduate		Under-Graduate		Post-Graduate		Under-Graduate	
		Frequency	Percent	Frequency	Percent	Frequency	Percent	Frequency	Percent
Officers in Office of Registrar Helpful	Yes	146	82.5%	176	60.9%	49	86.0%	96	93.2%
	No	31	17.5%	113	39.1%	8	14.0%	7	6.8%
Ease in Obtaining Mark sheets	Yes	152	85.9%	228	78.9%	52	91.2%	98	95.1%
	No	25	14.1%	61	21.1%	5	8.8%	5	4.9%
Ease to Register for Classes	Yes	155	87.6%	221	76.5%	53	93.0%	102	99.0%
	No	22	12.4%	68	23.5%	4	7.0%	1	1.0%
Adequate Information about Registration of Classes	Yes	136	76.8%	174	60.2%	50	87.7%	93	90.3%
	No	41	23.2%	115	39.8%	7	12.3%	10	9.7%

Grievance Redressal

Grievance redressal is a vital component of good governance in all HEIs. As UGC in its various notifications have asked all universities and colleges to constitute a Grievance Redressal Cell, almost all universities and colleges have this committee. As Table 5.4 of Chapter 5 clearly shows that majority of teachers (88.9%) are aware of the grievance redressal mechanism; complaints can be lodged through e-mail (72.2%) also. The efficacy of any system or mechanism can be gauged from its prompt action and disposal of the case. In this, the response regarding prompt and effective disposal of grievances is above fifty percent (57.8%). The students of university and college during group discussion were of the opinion that almost 50% of the grievances only get solved. The mean and standard deviation for the number of cases addressed in the last one year comes to 0.21 and 0.551 respectively (Table 5.5 of Chapter 5). There is an urgent need to gear up the whole mechanism of grievance redressal and speedy disposal of cases is required as a measure of good governance. The Deans and Heads during interview did emphasize that Grievance Committee do exist at Department, Faculty and University level. The complaints can be lodged through written complaints or e-mails. One of the Deans was of the opinion that grievances redressal system is very strong in BHU. There is also an informal system of settling grievances at the level of the teacher/ department; this was stated by some of the Deans. The students by and large knew about the grievance redressal cell functioning in university or college. It was surprising that majority of the medical students and students of university at UG level were unaware of the grievances cell as discerned during group discussion. Anti-Ragging Committee is very active and prompt actions are taken as per UGC/BHU rules. The cases of ragging in BHU and its affiliated colleges are almost negligible.

Management and Governance

A participatory management does exist in the university as the Deans and Heads opined during interviews. PPC meeting is held at faculty level to decide policy matters. Most of the decisions are taken collectively at department level. Regarding financial allocation, the Deans felt that the fund allocation was uneven at department level. The fund generated by the department can't be utilized by the concerned department as per their wish. Financial decisions are centralized at University level and there is a need to look into the financial rules and decentralization in financial matter should be there. The teachers in large numbers were of the opinion that there is too much centralization in university and there is a need for decentralization in administrative and financial matters. In academic matters, teachers should be involved and not the central registry, this was the opinion in one of the faculties.

Transparency in promotion of teachers is lacking as told by faculty members of a particular department of the University. The perception changes from person to person and department to department. BHU also has a Quality Score in its recruitment process which takes into consideration academic qualification, research guidance, publications, prizes and awards won at state/national level, etc. In promotion, the teachers overwhelmingly wanted API score to be scrapped. Some were of the opinion that API should have certain weightage. One of the suggestions was to take

into account three aspects in promotion of the teachers: student feedback, peer group review, and self-appraisal form. To bring in transparency in the recruitment, it was suggested to make public the proceedings of the Selection Committee. Decentralization process is the need of the hour for BHU. The laws pertaining to university should be streamlined.

The faculty of Science of BHU is rated as one of the best in India and has been upgraded as Institute of Science. It has both good teaching as well as good research to its credit. Research output is optimum and under DST Purse Programme they got the maximum grant of 34 crores. The institute is unable to retain best of its students as they migrate to TIFR, IISc, etc. due to better infrastructure and facilities there. Thus, there is a need for improvement and enhancement of facilities to retain the best talent. The best faculty should be appointed by conducting interview through Skypak for candidates in the USA, Canada, etc. The university should re-think on its present policies to attract the best faculty as well as students and also retain them. The university to display its true central university status should be able to attract students from all over India including south, and western India and not confined to north Indian students.

The College teachers were of the opinion that criterion for promotion was not clearly known to some of them. API scores are a source of concern among all teachers at university and college level. Promotion letters are issued at university level while at college level, this was not done till 2014-15. At the initiative of the IQAC, the college teachers promoted under CAS received the letter from 2015-16 sessions. At the University level, the CAS promotion takes place twice a year. At the college level, there was no backlog of CAS promotion as the IQAC closely monitors this. But this may not reflect the same scenario in other affiliated colleges. The college teachers were of the opinion that there is a need for transparency in all administrative matters. The Manager of the college was of the view that more autonomy should be there unlike the present system, especially in matters of appointment and promotion where the name of experts is given by the university and many a times it leads to delay. He was also for performance based resource allocation from the funding agency (UGC).

The governance model in the university has a mixture of bureaucratic, collegial at the middle and upper level while at department level; it can be participative at times. In the college, it is the collegial as well as participative model which is witnessed.

Issues and Challenges in Good Governance

There are a number of issues related to governance and management in which we find that the situation is satisfactory; much need to be done if we want good governance and management principles to be fully implemented in higher education institutions. According to NAAC, student feedback and participation is an important parameter of good governance in HEIs. Following are some of the various activities that are considered important to promote student participation:

- Development of student feedback on teaching-learning and other related activities.
- Development of a mechanism for follow-up action on student feedback.
- Pro-active role of IQAC in promoting student participation.

- Greater role in Institutional affairs by Alumni.
- Adopting student charter by all institutions.
- Introducing formal mechanisms to redress grievances.
- Encouraging student councils for active participation at all academic decision making bodies. (NAAC, 2007: 3-4)

Student feedback mechanism has come into focus due to the initiative of NAAC. The higher education institutions generally develop feedback during the NAAC Peer Team visit or after that. 24x7 student feedback system through online mechanism is considered one of the best practices in HEIs. This is yet to be developed in the university/ college. Banaras Hindu University developed its written feedback form after the second NAAC team visit in 2014. College followed the suit and developed its feedback form in a slightly modified form and the feedback was taken from the students before the second cycle of accreditation which took place in November 2015. The development of a proper mechanism for follow-up action on student feedback is yet to be worked out. Some follow-up does take place but it needs to be given a proper framework. It's only prior to visit of NAAC Peer Team that institutions gear up for the proper documentation; feedback is taken and some follow-up takes place. IQAC's role in promoting student participation needs to be worked out at university and college level. UGC and NAAC have emphasized a greater role for the IQAC but the administrative head and management/ governing body of HEIs are yet to understand its importance in promoting quality sustenance at all levels – administrative, financial, academic, extension activities, etc. In such a scenario, IQAC is reduced to a report making body for AQAR (Annual Quality Assurance Report) which is to be submitted every year to NAAC and uploaded on the website of the college. The IQAC Coordinator must be in the core group of decision making and play an active role. In many cases, it has been seen that the AQAR are also not been submitted yearly and when the NAAC re-accreditation process is initiated, then they are asked by NAAC to mandatorily submit all the previous year's report to start the process. This was the case in majority of the affiliated colleges and even the university.

Student's participation is also linked to greater role in institutional affairs by alumni. This is still in nascent stage in the college under study. Alumni Association was registered just one month before the visit of the NAAC Peer Team. The university has a vibrant alumni association and has roped in the alumni who play an important role in development of the university. Annual Alumni meet is held every year and is always marked by International Seminars on issues related to higher education.

NAAC has emphasized 'adopting student charter by all institutions.' NAAC's Student Charter is hardly known by the students, teachers or even the head of the institutions. This is sometimes displayed on the notice board of the IQAC office but hardly anyone takes note if it. The college/ university can develop its own student charter and make it known to all stakeholders of higher education focusing on a participatory model of governance.

Another aspect is introducing formal mechanisms to redress grievances of the students. The university and colleges have the Grievances Cell as stipulated by UGC. In this aspect, the

university and college are fulfilling their obligations. The various measures and redressal mechanism has been discussed above in section III of this chapter. But the grievances being addressed comes to below 60% which is satisfactory but the level should be above 75% to achieve a greater efficiency in grievance redressal.

“Encouraging student councils for active participation at all academic decision making bodies” is another important aspect of student’s participation according to NAAC. Student Council is in BHU and plays the role of student’s representation at various levels, especially in cultural activities like inter-faculty youth festival, etc. The college has initiated the system of student council at the initiative of the IQAC from the session 2015-16. They are involved in various cultural, co-curricular, disciplinary committee of the college. But their participation in academic committees of the college is negligible. Students are member of two committees of the college- the Student Advisory/ Grievances and Student Fund. The former has 15 students but on scrutiny it was found that the names of the students are not specified in the committee, only the number is specified. The latter has student representatives of all classes as its member. But in practice, the students have negligible role. Academic audit of teachers through students is in vogue in some of the HEIs and is considered one of the best practices by NAAC. This is yet to take shape in the university and college. In fact, a majority of the teachers are against the practice of being evaluated by the students.

Challenges in Achieving Good Governance

The provisions for transparency are there but how much they are enforced is a matter of speculation. There is a need to enforce professionalism in higher education institution. Red tapeism in financial sanctioning even in research projects is a major concern of university teachers. There must be a fixed timeframe for all the works in the central registry. The decision making process should be more democratic as suggested by teachers of a particular faculty. The Education faculty felt that there was need for close coordination between UGC, NCTE and RCI (for special education courses) for running of the B.Ed. and M.Ed. courses.

The students by and large felt that the admission process is fair and transparent. There are certain hiccups in online admission process which will be gradually minimized. The Medical students were satisfied with the admission process. At MBBS admission, they felt that the state quota should not be there. At MD/MS level, the number of seats in each specialization was not specified. One of the opinions was that entrance exam of UG/PG is transparent but in interview for Ph.D. admission there is lack of transparency. Other problems in Ph.D. admission are display of RET (Research Entrance Examination) marks, difficulty in getting consent letters, selection of supervisor according to their specialization, non- BHU students face more problems in taking admission.

A number of infrastructural problems were raised by both university and college students. The common problems of college students were drinking water, internet facility (Wi-Fi), Photostat facility, lack of adequate washrooms, non-functioning of computers in labs, medical facility, lack

of adequate number of books in library, especially foreign authors. They were also critical of lack of common room for students, absence of placement cell, career and guidance cell and overcrowded buses (transportation facility provided by the college). At the university, the medical students were not satisfied with the hostel facility, mess facility, sports, parking, old equipment in labs, internet facility, etc. The same problems like lack of common room, Ph.D. cell/forum, issue of reference books, lack of online journals, library maintenance and update, lack of Hindi books and Hindi journals, lack of hostel facilities for girls, lack of maintenance of computer lab and other labs, lack of photocopy facility within the department, water cooler, etc. were highlighted by students from other departments of the university.

The students from other states except UP were not getting government scholarship; this was common view among all the students. The information regarding scholarship is not available or the dealing assistant is not cooperative. Some students were critical of the fee structure of college being much higher than the university even when they are funded by the government (UGC). The students of a particular department of college were of the opinion that Grades were not awarded in a fair manner in internal assessment. The same was echoed by students of one department of the university. Coincidentally, it was the same department in the college as well the university. The exam schedule is declared a week before the commencement of examination and the admit cards are given a day before the examination. The mark sheets are never published on time. These are some of the logistics problem of the examination cell of the university. These problems can be taken up if we have a pro-active student council and IQAC playing an important role in highlighting these issues before the administration. This happens only if a person of vision and student-centric approach heads the IQAC.

Some of the suggestions given by the stakeholders of higher education, especially teachers and students are:

- a) Student participation should be there in all matters where it concerns the students.
- b) Student Council should be fully functional, especially at college level.
- c) A participatory governance process should be there involving all the stakeholders including alumni.
- d) The Hostel Wardens, Caretakers should be periodically changed/ transferred.
- e) The classroom management must involve use of audio-visual means, and smart classrooms.
- f) The evaluation is by and large transparent. The MBBS students wanted the system to include subjective as well as objective pattern for evaluation. The present system is based on subjective only. The PG Medical students want the evaluation to be done annually unlike the present system – at the end of third year (as per MCI norms).
- g) In the semester system, there must be a provision of Grade Improvement examination which is not in the present university system.

- h) To meet the challenges of the present times, especially Digital India, the library should be well equipped with internet (Wi-Fi) facilities and computer labs are as per the latest technology.
- i) In the semester system, the teacher and the concerned department should have the autonomy to change the curriculum to suit the current scenario. The students should have wider choices under Choice Based Credit System (CBCS) unlike the present system where the choices are limited.
- j) There should be a student union in the university, more office staff be appointed, hostel facilities for girls, proper hygienic canteen, in working women hostel child should be allowed with married women, all building should be barrier free, campus selection/placement, improvement in ICTs facilities, and improvement of physical infrastructure including ramps. Counselling facilities before admission, career guidance, more time for sports, human resource for special B.Ed. course, increase practical activities, 5 days per week (working days).
- k) Improvement in research quality both at the level of research scholars and faculty members. Good research work should be acknowledged and rewarded.
- l) There is lot of resentment regarding the way appointments are being made in the university and the intention and integrity of the top management is doubted by the teachers. There is an urgent need to publish all the proceedings regarding appointments and bring transparency and accountability.
- m) The University may develop its own mobile app too. There is a need to move towards e-governance to bring about greater transparency and accountability.

Chapter 7

Summary and Conclusion

Governing and managing higher education institution like Banaras Hindu University with huge and complex structure to the full satisfaction of the stakeholders is a challenging work. Located in a region in which population and population density are very high and quality higher education institutions are few and far between, the University every year witnesses ever increasing number of applicants from different socio-cultural and economic background. It faces the dual role of managing the quantity and also maintaining quality of education and its ranking among the top universities of the nation. With new programmes being added every day, state support gradually withdrawing and new challenges coming its way every moment and the expectations and aspirations of teachers and students reaching new height, the task of those involved in governing and managing the University is clearly cut-out.

The present work based on investigation through semi-structured schedule of teachers and students of sample departments and interview and discussion with different layers of management has made an attempt to study the governance and management issues of the university. Different chapters of the report present different aspects of governance. In this chapter, we will try to sum up the work and present our final findings. This chapter is divided into two parts: Section I briefly present the views and opinions of teachers and students while Section II comes up with some suggestions to improve the system.

Section I Governance & Management of BHU: Perception of Teachers and Students

The present study attempted to evaluate and study the governance and management system of the University and also sought to understand the teacher and student perspective of governance. As already stated earlier, the teachers and students have all praise for the way the administration manages and governs this huge university but they also felt that there are some problem areas as well. We present here primarily the major lacunas relating to governance and management system of BHU as stated by the teachers and students; tackling these short comings might improve the functioning of the University.

A. Teachers Perception of Governance and Management System of BHU:

Teaching and Research

- There is no system of giving reward for teaching in any way and there is no accountability too. This is reflected in the classroom performance of the teachers. University must develop some system for attracting and retaining quality teachers.
- A system of regular and objective feedback by students is absent. Although the central administration has time and again declared that it should take place but in most cases, faculties and departments have avoided it.
- Although research is awarded, yet by any means the reward is not sufficient and due to involvement of seniors, this does not depend exclusively on the quality of work rather on other

considerations. A system of categorizing quality of research and rewarding it accordingly should be followed.

Appointment

There is resentment regarding the way appointments are being made in the University. There seems to be a communication gap between those at the top and those working at lower levels and this has created doubts in the minds of juniors.

- Leaders at the Department/Faculty are not transparent in matters of appointment. There is no clear and objective system in place. Posts are declared as reserved or are withdrawn as reserved category at the sweet will of those at the top management (in most cases, this is an issue of lack of information).
- Doubts are raised as in a number of cases; guidelines were changed after the post was already been advertised. The issue is raised by young faculty members mainly and the deeper investigation convinces the researchers that barring stray incidences, the guidelines are changed as per the requirements of the concerned department and the misconception exists because of lack of communication.

Efficiency of the Support System

- System is too bureaucratic and most inefficient. There is no accountability on the part of the University.
- Doing projects is very difficult at the university level. Rules are obtrusive and process discouraging. The policy followed by the Central Office is discriminatory and discourages genuine researchers. The college teachers do not face such problems.
- Time Charter is announced by the University and for clearing different requests i.e. different kinds of work, time required should be clearly stated to bring in accountability. This should be followed in the colleges too.
- There is a lack of coordination between different sections/ departments of the Central Registry.
- Infrastructure is there but proper upkeep and maintenance is missing. Funds are given for buying expensive machines but there is no financial support for their repair and maintenance.

Participation in Decision Making

- Average teacher is concerned more with the faculty/department administration and here power flows from the top. There is a vertical structure. Those at the top management are not prepared to share authority with others.
- There are people who for personal gains align with the top administration. They are included in the inner core of the decision making process while rest of the teachers who do not appreciate such approach are left at the periphery.

- Participation is promoted in activities where teachers are not interested. Participation and delegation at the faculty level depends on the will of those at the helm. The University does not ensure it in an effective way.

Admission and Semester System

- Though the University has of late improved the admission process significantly, still the present process is very lengthy and stretches over 2 months. This has negative impact on teaching and other administrative works. Teacher's involvement in clerical work is too much.
- Semester system is not so successful, especially at UG level with huge number of students. It gives inadequate time for teaching.

B. Student Perception of Governance and Management System of BHU

Admission Process

- Admission process is very lengthy and time consuming. Students coming from remote areas and outside Varanasi face problem in staying long. The University should have more admission help desks and these should have computers as well.
- After document verification, time and again documents are asked for. The clerical staffs take lot of time in returning original documents.
- No counselling is done regarding choice of subjects in UG admission.
- Waiting list system be there for upgradation
- The University has a system of admission under paid seat category to augment resource mobilisation for both university and college but even these seats are laying vacant, regular admissions are not made under this category.

Information

- Information in general is not provided on time, many times the student does not know about the facilities, change in rules, procedure to be followed or dates of examination.
- Scholarship- timely information is not available. There is a need to constantly update the website of the university/ college so that all essential information is displayed there.

Efficiency of the Management System

- Long process to redress any grievance like change in mark sheets, correction in names, etc.
- In many cases, students are not aware of the rules and procedures and there is no way they could know this except seeking information from their seniors.

Evaluation/Examination

- Examination and evaluation systems are by and large transparent. Answers sheets should be coded to avoid any element of subjectivity. Evaluation system should be made more transparent.
- At times there is delay in publication of results.
- Date of examination is not fixed; it keeps changing as the university exam clashes with competitive/entrance exams of other universities and even BHU itself or some external events/developments lead to postponement of examination. This causes great inconvenience to the students.
- Short duration of semester with mid-semester breaks does not give students enough breathing space for proper academics.

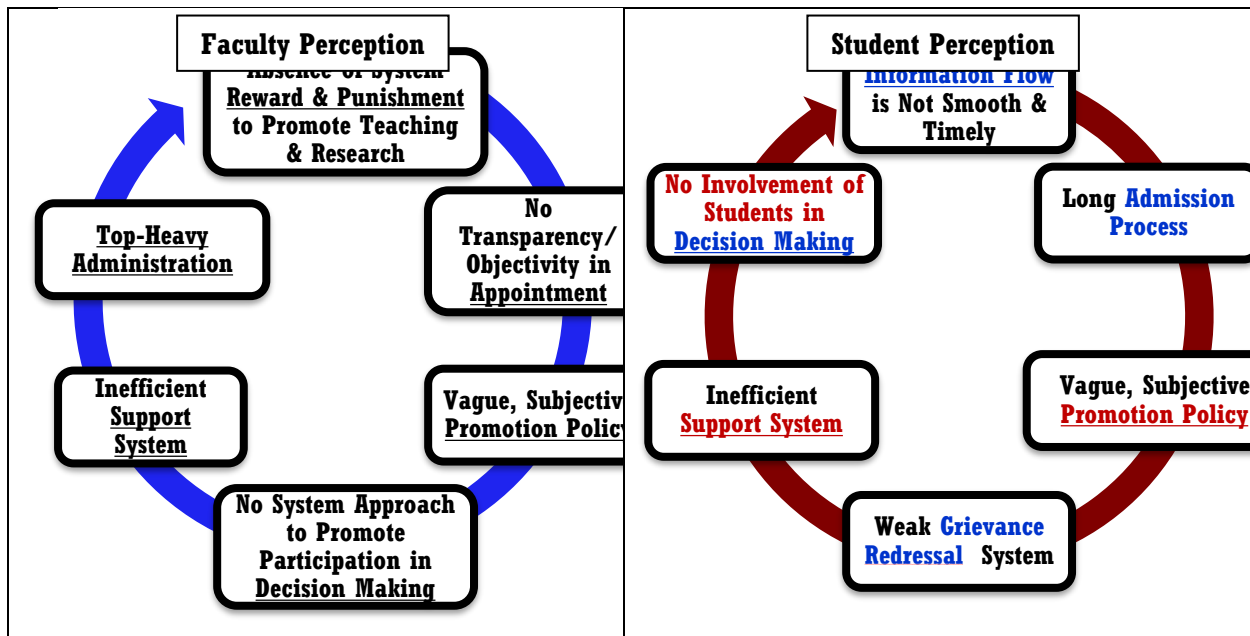
Student's involvement in decision making

- There is no student union in the university or the colleges and thus there is no involvement of students in decision making process. At times the decisions taken are not in the interest of students but they cannot protest through their representatives. The central administration has introduced the system of mentors but nothing is done at the ground level. The college has a provision for student representative but they are hardly involved in any decision making process.
- Faculty- department representatives should be there in management teams. The university should promote informal system of communicating with students and taking their view on important issues.

Grievance Redressal

- Students are not aware of any committee regarding grievance. Grievance box should be put at appropriate places.
- Informal grievance redressal system is not in practice. In most cases, students' approach the Deans or Heads with complains pertaining to class or other issues, they are not taken seriously. There is no mechanism to ensure that student grievances are settled.

The Charts given below summarize the overall view of teachers and students regarding the governance and management system of the University as well as the college:



C. The Institutional Response to the Issues Raised

The university administration is well aware of the issues raised and sincerely acknowledges that while some are genuine and exists despite sincere efforts made by them, some issues are well beyond their purview. There also exists a third category of issues which emerge either because of very high expectation level of the University community or their rather uninformed perceptions. Based on the interaction with the top administration, we could briefly present here the institutional response to the issues raised:

Governance

The University authority understands the problems involved in developing a reliable system of communication to convince the stakeholders that things are moving in the right direction and their fear and apprehensions do not have much ground. The administration values teaching and research and follows a transparent system. The institution has a number of arguments in its defence:

Teaching and Research

- The university true to the tradition established by its founder has always valued teaching and teachers. It has a system of giving Vice Chancellors award to faculty members based on their research as well as teaching performance.
- The day to day monitoring is to be done at the faculty and department level. The Vice Chancellor too visits classrooms of and on.
- A system of regular and objective feedback by students has been introduced and is being made compulsory both at university and college.
- Qualitative assessment of research work is a difficult work. It has to be peer reviewed only and University has in principle promoted this.

Appointment

- The University and the college follow UGC regulation regarding appointment and promotion. The scrutiny of form is done by senior professors and the results are displayed on the website. There is the issue of ignorance and crisis of faith on the part of teachers.
- The appointment system is changed frequently by UGC and the University can do nothing on this. This applies to promotion as well.

Efficiency of the Support System

- The University system functions on the basis of laid down procedures. Teachers are involved almost everywhere. They are the decision makers.
- As regards projects, more than six hundred projects are done in the University at a point of time and this speaks volume of the cooperative attitude of the administration. Since, it is a public funded university; the onus is on administration to ensure that finance rules and GOI directives are followed. This at times cause inconvenience to the teachers.
- The central administration acknowledges that there is some lack of trust among employees and that is preventing them from taking decisions causing delay in disposal of requests. The administration is taking appropriate steps to provide training to employees and instil confidence in them.
- There are complains relating to maintenance of infrastructure and quality of support services. These are but natural considering the magnitude of the work. The University feels that by maintaining support departments it has been able to minimize the inconvenience to the end users.

Participation in Decision Making

- Decision making is decentralized and teachers are involved in the process. Because of their experience and exposure, senior teachers are preferred but the University gives chance to young teachers as well.
- For a big university like BHU with over 1500 teachers, it is difficult for the central administration to know the interest and strength of individual teachers. Normally, teachers are nominated in different committees based on recommendation of senior teachers and once they demonstrate their capability, they are involved in other kind of works. This system is better than trial and error system.

Admission and Semester System

- University is reforming the admission process. It has shifted to the online system recently and the system has been successful. There are some teething problems that are expected to ease out with time.

The University administration thus feels that it is aware of the problems and also the failures (if they are called so) and is taking suitable steps to minimize them. But the job is not that simple and as such completing doing away with the problems is very difficult. With more efforts and support from teachers and students, things could improve.

Section II Suggestions

A lot can be written and said from different perspective to improve the governance and management system. For the sake of brevity we however concentrate on the following aspects:

Communication

A major problem with the governance system of big universities like BHU is rather absence of a dependable channel of communication between different functionaries. Much of the problems is perceived ones and arises because of lack of information and communication. There is thus need of fair coordination between (a) Central registry i.e. university bureaucracy and teachers and students and (b) Teachers and students. We can suggest certain measures from this angle:

1. The IT facilities of the University should be used and a web-portal could be developed on which the central administration could communicate and explain its decisions and teachers and students could give back their feedback.
2. On issues of common interest and far reaching consequences, the initial draft proposal could be discussed with the various stakeholders and their perspective should be taken into consideration and then the final notification be brought out.
3. Rules, regulations and provisions should be properly notified and any change therein should be communicated to the concerned parties. BHU's rules and regulations were documented long back ago. These documents are University Calendar. A number of changes have been brought over the years but the updated version of the Calendar has not yet been published. As a result, it has become difficult for any teacher to know the rules and regulations. The University should put the updated version of soft copy of Calendar on the website so that there is transparency and no scope for any confusion.

Participatory Approach

There is sufficient scope in the University to approach participatory management. As already discussed, sizeable number of teachers feels that only a handful and handpicked are involved in decision making, young teachers are not involved and students are not at all considered. This is creating a sense of alienation. The suggestions are as stated below:

1. The University should prepare an online data bank of teachers and their area of interest (based on information supplied by teachers). Whenever a Committee is being constituted, this data bank could be used for nominating the teacher based on his/her interest.
2. In Committees constituted by the University, there should be an ideal mix of senior and junior teachers. This would not only bring in fresh ideas and energy but also make the system look more democratic.
3. To the extent possible, the University should try and give chance to more members. The system of putting selected teachers in most of the Committees unnecessarily makes some of them privileged and others feel deprived.
4. Wherever the work is not confidential in nature and wherever possible, student members can be involved. The participation in decision making would make them understand the compulsions of management and also own and support the decisions.

System of Reward and Punishment

It is a well-known fact that a major problem with public universities is absence of a system of reward and punishment. It kills the motivation to work and also encourages shirking. It is true that harsh punishment is neither possible nor feasible but some system of minimal punishment and reward is essential. Following suggestions are worth mentioning:

1. The Central Administration should develop a system to monitor the performance of teachers. The performance assessment of teachers should be based on (i) peer review, (ii) Review/feedback from students and (iii) Confidential Report of the administration itself. A system of rewarding the better performers by awarding marks based on above system of review/feed-back, giving them letter of recognition, granting them leave for academic work, better facilities and support for academic activities could be devised. This would really give a boost to sagging spirit of meritorious teachers.
2. The non-performers could be given a letter of displeasure. In fact, rewarding the performers would be an indirect punishment to non-performers.
3. Like teaching, a system of rewarding quality research could be thought of. Based on the publication record, peer review, projects done etc. (Criteria could vary between departments) a system of rewarding quality research could be initiated.

Robust System of Appointment and Promotion

A sizeable number of teachers during the survey raised serious doubts about the veracity of the appointment and promotion process and non-partisan approach of the administration. Appointment and promotion system is not only crucial for recruiting and promoting competent people but also creating confidence of the recruits in the administration (something very crucial in functioning of the administration). Following suggestions are worth noting in this regard:

1. The University should bring in more transparency in the appointment system. The screening criteria should be made more objective and clear; the roster for reservation is made simple and all information is displayed on the website.
2. The rolling advertisement system should be retained and regular interviews for appointment be conducted.
3. Promotion policy is allegedly very vague. It should be made clear and criteria should be notified and made public.

Admission and Examination

The admission system is being managed well and in the last couple of years changes have been brought that has further improved the system, yet there is scope for improvement.

1. The University's system of taking admission through all India entrance test is indeed praiseworthy and should work as something to be followed by other Universities. We can even think of a Common Admission Test for all Central Universities or for those located in UP to begin with.
2. The process of admission is very time consuming. The University can follow the system in vogue in IITs. Some training to the staff and help desks for applicants coming from villages is required but it will substantially improve the system.
3. The University should make its online system more interactive so that queries and confusions of applicants could be effectively handled.
4. Examination system of the University needs improvement. A sizeable number of teachers and students feel that it does not test the real knowledge of the students. A more decentralised system with greater autonomy to teachers is the need of the hour. The change however cannot be sudden. The University at different forum should discuss examination reforms before taking a final call.

Autonomy and Accountability

An ideal blend of autonomy and accountability is required in the University. Autonomy should not be only rhetorical. The University needs to form clear-cut rules regarding the freedom given to different functionaries and the freedom should be brought under public scrutiny to ensure that it is not misused or misinterpreted. Lack of accountability has led to a situation where administrators, teachers and students just walk away with their deeds. We have already suggested system of reward and punishment for teachers so obviously that would make them accountable; we need to talk about the administration too. A number of teachers complain that they have to literally pursue their applications and the University administration is not accountable for its failures, delays and wrong decisions. The Registrar of the University also felt that different functionaries should be made accountable for the jobs they do. The following suggestions need to be implemented for better functioning:

1. The University should fix maximum time schedule for routine works like processing of duty/earned leave applications, processing of LTC bills, different kinds of project bills, issuing of marks sheets, admit cards etc. If the work is not done in the stipulated time period concerned staff should be made accountable.
2. Performance evaluation is done for non-teaching staff on annual basis but apart from the time of promotion, apparently no heed is given to these evaluations. An appropriate action against the erring staff is taken to improve the administrative efficiency.
3. Lower level officials, Section officers etc. should be given autonomy to take routine decisions and good performers should be rewarded.

Training and Career Development

The University should evolve a proper system of training and skill development for teaching and non-teaching staff alike. Although the UGC already has a system in place for teaching staff, for non-teaching staff a lot remains to be done. Following suggestions can be implemented for better result:

1. Though the University has shifted to an ICT based system, still there exist substantial sections of non-teaching staff that cannot handle computers or are afraid that if they learn it their workload would increase. ICT training should be made compulsory and defaulters should be severely dealt with.
2. The University should evolve a need based training program. Though training programs are organized in the University regularly but the need is to focus on specific training needs. Preference should be given to trained staff in promotion.
3. For non-teaching staff, there is stagnation beyond a level. If such stagnation cannot be avoided for technical reasons, the University should evolve a system of compensating such employees so as to keep them motivated.

Doing Away with Support Services

The University is spread in a campus of more than 1300 acres and for maintenance of basic services in the Campus the University maintains a big army of staff in maintenance department. Such departments were required 100 years back when the market did not have expertise to provide such services. However, maintenance of such departments and large number of employees therein has resulted in tremendous increase in the work-load of the university. The University should gradually outsource these work and think of trimming the workforce so that the administration can devote more time and energy in essential works.

Concluding, we can say that although Banaras Hindu University has done really well in governing and managing its affairs, yet a lot remains to be done. The higher education sector is slated to face new challenges in coming years and this necessitates professionalism in overall management. It is high time the government at the Centre, State governments and the University administration give a serious thought to the governance issue. We can learn a lot from the Universities in the West-Oxford and the Cambridge which have survived centuries and have grown stronger with passage of time.

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