

No.10-16/2016-Stat
Government of India
Ministry of Human Resource Development
Department of Higher Education

West Block 2, Wing 6, Ist Floor
Sector 1, R K Puram
New Delhi- 110066.

Dated the 23.02.2017

Subject: Expression of Interest (EoI) for Invitation of bid for evaluation of Central Sector Plan Scheme- `Higher Education Statistics and Public Information System (HESPIS)

Important Dates

Particulars of event	Date
Date of publication of bid.	23.02.2017
Date for pre-bid meeting	06.3.2017 at 3:00PM
Last Date for submission of bids	14.3.2017 at 3:00PM
Opening of bids	14.3.2017 at 3:00PM

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Department of Higher Education**

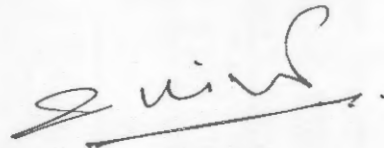
Notice Inviting Expression of Interest

Department of Higher Education invites "Expression of Interest" from reputed Agencies/Organizations /Institutions having experience of at least ten completed evaluation studies in last five years of Government Programmes & Schemes for conducting Comprehensive and in-depth assessment of the Impact of Central Sector Plan Schemes of Higher Education Statistics and Public Information System (HESPIS).

Interested agencies/organizations/Institutions may download the TOR from the Department of Higher Education website <http://mhrd.gov.in/tenders> and submit their bids for the evaluation of the scheme in the prescribed proforma within 15 days excluding the date of publication of this advertisement.

The "Expression of Interest" (EOI) for conducting the evaluation study is to be submitted to Sh. Rajkumar, Director (Statistics) West Block-2, Wing-6, 1st Floor Sector-1, R K Puram, New Delhi-110066. in sealed envelope superscribing "Expression of Interest for Evaluation of Higher Education Statistics and Public Information System (HESPIS) Scheme of the Department of Higher Education".

A pre-bid meeting may be held within one week of publication of this advertisement. Interested agencies/organizations/Institutions are requested to check our web-site regularly or contact on phone No. 011-26162917.



Terms of Reference

No.10-16/2016-Stat
Government of India
Ministry of Human Resource Development
Department of Higher Education
(Statistics Division)

Expression of Interest is invited from reputed agencies/ organisations/ institutions having experience of successfully completing at-least 10 evaluation studies of government schemes of five different Ministry/Departments in last 5 years; to participate for Evaluation of Central Sector Scheme- Higher Education Statistics and Public Information System (HESPIS) of the Department of Higher Education.

1. SCOPE AND OBJECTIVES OF THE STUDY:

The evaluation study would be aimed at comprehensive and in-depth impact assessment of above mentioned Central Sector Scheme of the Department of Higher Education i.e Higher Education Statistics and Public Information System (HESPIS) *copy of Scheme is at (Annexure-2)*

Evaluation must bring out the results in quantitative as well as qualitative terms of Scheme separately, in terms of Geographical Coverage, Institutional Coverage (Rural/Urban), Gross Enrolment Ratio and Beneficiaries etc.

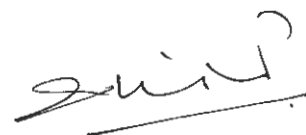
The selected agency/organization/institution would finalize evaluation methodology, questionnaire etc. for the study in consultation with the Department.

2. ELIGIBILITY CRITERIA:

1. Agency should have minimum annual turnover of Rs. one crore in last five years.
2. Agency should have under taken and completed at least 10 (ten) evaluation study of at least five different Ministry/Department of Government in last five years.
3. Out of total ten completed studies 3 evaluation studies should be for more than Rs. 10 lakh as consultancy fee.
4. Agency should have worked in at least 10 States in last five years.
5. Agency must be in existence for last 15 years.

3. TERMS OF REFERENCE (TOR)/ SCOPE OF WORK FOR THE AGENCY TO CONDUCT THE EVALUATION PROCESS:

The evaluation study should be completed within 60 days after award of work. There are about 60,000 units from which data is collected, from all over the country, online through web portal www.aishe.gov.in under the HESPIS Scheme. The evaluation agencies may conduct study through telephonic enquiry or any other means as the agency deem proper for the study; contact details of Nodal Officers/persons are available with the Department of Higher Education. The **SFC Memo of the HESPIS Scheme** shall be used as reference for the evaluation purpose. **(Annexure-3)**



The evaluation agency, as part of the evaluation study, will be required to cover at least the following points:

- To document the specific objectives/ deliverables of the scheme and comments on the extent of their clarity.
- To list methodology used for evaluation of scheme.
- To analyze the geographical distribution of institutions surveyed under the scheme.
- To analyze and report the extent to which the objectives of scheme have been achieved.
- To document the financial performance of the scheme in relation to the approved cumulative budget outlays provided.
- To document weakness and suggest steps to improve effectiveness/implementation of the scheme.
- Executive summary of the evaluation study.
- Role of Technical Support Group (TSG) in implementation of the scheme.

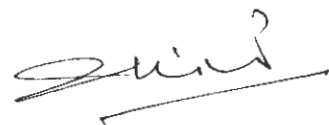
4. METHOD OF SELECTION OF THE EVALUATION AGENCY:

4.1 SUBMISSION OF BIDS

The bids should be submitted in two sealed envelopes separately (one containing technical bid and other financial bid), superscribing on the envelopes financial or technical bid for HESPIS scheme). Envelopes containing technical bid and financial bid should be kept in a bigger envelop, this bigger envelop should also be sealed and on the top of the envelopes it should be clearly mentioned as a "Bid documents for evaluation of HESPIS" Scheme.

4.1 (A) THE TECHNICAL BID SHALL CONTAIN:

- (i) Details of the methodology to be used for evaluation of the Scheme like study design, methodology of collection of data, field team composition, work plan, etc.
- (ii) Details of the experience of the applicant institution including--
 - a. Name & Short C.V. of Principal Officers/ Team Leader including his educational qualification & experience etc. in years etc.
 - b. Ownership details & organizational Structure
 - c. Audited Financial Statement for the last five years i.e. 2011-12, 2012-13, 2013-14, 2014-15, 2015-16.



- d. Audited Year-wise turnover and Net Profit/Loss (PAT) for the last five years.
- e. List of major completed assignments undertaken in last 10 years, along with documentary evidence for having done so including acceptance of the Reports, for the client departments/Ministries.
- f. Location of branches of the agency throughout the country.
- g. C.V. of all the Consultants/Subject Experts to be engaged from outside for the study.
- h. Agency should submit all documents in support of their fulfilling the eligibility criteria.
- i. Undertaking that firm/Agency is not black listed
1. Copy of PAN/TAN
- j. Any other information to highlight their strength and the claim to undertake the evaluation.
- k. Each page of Bid document should be signed and sealed by the authorized signatory of the firm.
- l. Index with proper page referring of all documents of Technical Bid including annexure, appendices if any.

Along with the above information, details regarding agency's credentials, research team's composition, infrastructure, qualitative and quantitative research skills and experience of the organization/institution in undertaking similar evaluation studies, names and **contact details of at least five clients from whom the experience/competency of the applicant can be ascertained**, is also required to be provided. The organisations should also provide evidence in support of their experience in evaluation of Government programmes and schemes.

Note: The bid document should be properly indexed and each page should be numbered.

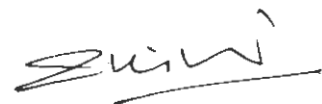
4.1 (B) THE FINANCIAL BID SHALL CONTAIN:

The financial bid should include all liabilities including service tax etc. Proforma for Financial bid is at **Annex-1**.

4.2 SELECTION PROCESS:

- a) Opening of envelope in presence of bidders will be done at 3.00 PM immediately after closing of bid time in the Department of Higher Education West Block-II, Wing No.6, 1st Floor Sector-1, R K Puram, New Delhi-110066.Immediately after opening of envelopes, Technical bids for each scheme will be opened in the presence of bidder and signed by the Screening Committee Members.
- b) Evaluation of technical bids will be done by the Screening Committee of the Department of Higher Education preferably within a week. The
- c) Financial bids, only, of the technically qualified agencies/organizations/institutions will be opened in their presence on the date and time to be intimated them through Website/E-mail/Fax or Telephone (contact details to be provided by bidders in their Technical bid).

Note: The Department of Higher Education reserves the right to accept/reject any bid received without assigning any reason whatsoever.



5. PRESENTATION

The agencies/organizations/institutions would be required to make a presentation of their action plan for carrying out the evaluation work, before the screening committee of the Department. The exact date, time and venue for the discussion and presentation would be communicated separately.

6. TIME SCHEDULE FOR COMPLETING THE STUDY:

- (a) Conducting the evaluation Study and submitting draft report—
45 days from the date of award and
- (b) Final report-
1 week after approval of draft report by the Department.

7. DELIVERABLES:

The agency/organization/institutions conducting the study will provide:

- Softcopy and 4 Hardcopies of the draft report;
- Soft copy of the data and information collected during the evaluation;
- 10 Hardcopies of the Final Report in colored printing;
- Soft copy of the Final Report in Compact Disc;
- Presentation to the Department upon preparation of final report.

The agency/organization/institutions would also give the undertaking that the information collected in respect of the scheme of Department of Higher Education will not be disclosed / presented anywhere without obtaining prior permission of the Department. The report, material etc. generated/collected during the study shall be the property of Department of Higher Education and Department of Higher Education will have proprietary rights.

8. PENALTY

If the agency/organization/institutions is not able to complete the evaluation in time and/or is unable to furnish the reports in time the agency would be liable to be penalized as follows:

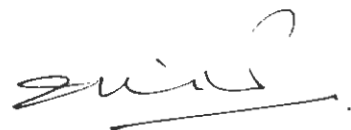
- For delay: 1% of the fee (excluding taxes) per week or part of it subject to maximum of 10%.

9. SAVING CLAUSE

The Department of Higher Education has the right to terminate the contract at any time if it comes to know that the contract has been procured fraudulently or misrepresented and corrupt practices and forfeit the EMD / bank guarantee etc.

10. COURT JURISDICTION

In case of any dispute, this shall be subject to the exclusive jurisdiction of Court at Delhi/New Delhi.



11. DATA, SERVICES AND FACILITIES TO BE PROVIDED BY THE DEPARTMENT OF HIGHER EDUCATION

To facilitate undertaking of the study, the Department of Higher Education will provide all the available relevant documents/information to the Evaluating Team.

12. SUBMISSION OF EXPRESSION OF INTEREST

Interested Institutions/organizations may submit their bids/EOI in a sealed envelope, to Shri Raj Kumar Director (Statistics), Department of Higher Education West Block-II, Wing-6, 1st Floor Sector-1, R K Puram, New Delhi-110066, superscribing "Proposal for Evaluation of HESPIS Scheme" of the Department of Higher Education" within 15 days excluding the date of Advertisement by 3:00 P. M.

13. EARNEST MONEY DEPOSIT

The Earnest Money Deposit (EMD) amounting to Rs. 5,00,000/- (Rupees five lakh) for the scheme in the form of Bank Guarantee/ Demand Draft/Bankers Cheque drawn in favour of 'PAY & ACCOUNT OFFICER Ministry of Human Resource Development, and payable at New Delhi should be **enclosed with the technical bid**. The EMD would be forfeited if the bidder withdraws his/her bid during the validity period. EOI/Bid received without EMD shall not be considered. The EMD of unsuccessful bidder will be returned after selection of the agency. The EMD of selected bidder will be kept in the department as security and will be returned only after completion/acceptance of study and release of full and final payment.

Note: The validity of the EMD/BG should not be less than six months from the date of advertisement this EOI.

14. PAYMENT TERMS AND CONDITIONS

The payment terms for the consultancy are scheduled as follows, unless agreed otherwise:

- 30% of the total fee to be paid after the award upon submission/presentation of an inception report.
- 50% of the total fee to be paid on submission of the draft the evaluation report
- Upto 20% of the total fee on submission of all the deliverables/documents mentioned in para- 7 and acceptance of report after adjusting for delay if any.

15. SUBMISSION OF BANK GUARANTEE

In case installment of consultancy fee is more than Rs.5.00 lakh i.e. (BG/DD/cheque already deposited as EMD), the BG for the difference amount will have to be submitted by the Agency before release of installment/consultancy fee. The BG will be released only after completion/acceptance of study by the Department. No request for waiving off EMD/BG shall be entertained.

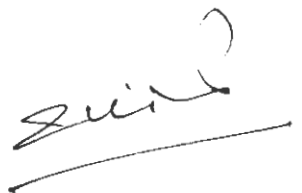


FORMAT FOR FINANCIAL BID

*Total Cost of Evaluation Study (Rs. in figure)	*Total Cost of Evaluation Study (Rs. in words)
Rs.	Rupees.....

*Excluding Service Tax and other Statutory Tax as applicable.

(Signature with Seal)

A handwritten signature in black ink, appearing to be 'S. S. S.', is written over a horizontal line.

NEW PLAN SCHEME
HIGHER EDUCATION STATISTICS AND PUBLIC
INFORMATION SYSTEM (HESPIS)

The Government has accorded high priority to the development of education sector and for this purpose a number of flagship programmes are being implemented to build the infrastructure. However, in the absence of an effective institutional mechanism, the statistics reflecting the outcomes of these initiatives of the Government become available only after a considerable time lag and with a number of limitations.

To prepare a sound data-base on Higher Education, Ministry launched All India Survey on Higher Education (AISHE) to collect data from all the institutions of higher learning in the country through electronic mode. Keeping in view the need for generating reliable data on regular basis, the Ministry further decided to continue the survey on an annual basis and for which creation of a scheme was needed.

The XII Plan categorically highlighted the need for a strong current and comprehensive data for evidence-based policy making and effective planning. The Plan document also took note of the All India Survey on Higher Education initiated by the Ministry of Human Resource Development and indicated that it can provide useful insights and can be the first step towards creating a comprehensive higher education data management system.

Keeping this in view, a new plan scheme Higher Education Statistics & Public Information System (HESPIS) was proposed in XII Five Year Plan. The meeting of the Standing Finance Committee (SFC) was held on 05.12.2013 under the chairmanship of Secretary (Higher Education) in which the scheme was approved. The total cost of the scheme is Rs. 99 crores for the duration 2012-17.

Objectives of the Scheme

- Strengthening official Statistical system to produce Education Statistics periodically with timeliness and quality so as to assess and review the performance of education sector and regional divergences across the country.
- Encouraging all producers of official Statistics to adopt common geographic referencing and coding standards to provide statistical aggregates/ estimates at State, District and Block level.
- Promoting collection of data in electronic mode
- Periodically reviewing all regular surveys by undertaking in-house reviews of actual results over time and identifying data-gaps.

- Developing techniques that reduce burden on data providers
- Strengthening Institutional Coordination between Ministry and other data producing agencies such as University Grants Commission, All India Council for Technical Education, National University of Educational Planning & Administration, Medical Council of India, State Government Departments, Examination Boards etc.
- Benefiting students by creating Centralized portal which can provide updated information to students which may be useful for their decision making.
- To conduct some special surveys and longitudinal studies for more detailed insight of Higher Education in the country.

Key Features of the Scheme

- HESPIS is an umbrella scheme catering to the need of various kinds of Statistics related to higher education sector.
- Steering Committee will be constituted under the chairmanship of Secretary (higher Education) with the representation of heads of various stakeholders from all the sectors including Planning Commission, UGC, AICTE, NUEPA etc. to address various issues relating to higher education statistics.
- Technical decisions related to Higher Education Statistics will be taken by Steering Committee.
- Setting up of AISHE Unit in the State and AISHE cell in each Affiliating University to coordinate All India Survey on Higher Education.
- Norm-based and Output-based funding.
- States and Institutions to ensure uploading of data and its authenticity for receiving funds.
- Funds would flow from the Ministry of Human Resource Development (MHRD) to the Higher Education Institutions, through the AISHE State Unit/ AISHE University Cell.
- AISHE State Unit will be the key institution at the state level to channelize resources to the institutions.
- State wise allocations would be decided on the basis number of Higher Education Institutions located in the State.
- Remuneration to the Institutions would be based on the workload per Institution.

Component-wise Details of the Scheme

1. All India Survey on Higher Education (AISHE)

- All India Survey on Higher Education is the major component of the scheme for which approximately 80% of the total fund has been allocated.

- Year-wise Database on higher education is developed by collecting data from all the Higher Education Institutions (approximately 50,000).
- The survey is being conducted through electronic mode for which a centralised portal (<http://aishe.gov.in>) has been developed wherein each Institution has to register and upload the data. This will reduce time-lag in availability of Statistics to the bare minimum.
- For coordinating the activity, a unit is proposed to be set up in each State and a cell in each of the Affiliating universities. AISHE State Unit and University Cell will work in tandem.
- AISHE State Unit will coordinate with all the higher education institutions located in the State and AISHE university cell will coordinate with the colleges. These Units and Cells will also conduct training cum sensitization workshops for the nodal officers.
- Instead of hiring the persons to collect the data from the Institutions, a nodal officer is appointed in each of the Institutions who collects, compiles and enters the data for the Institution in the centralised portal. To perform this work, nodal officer will be given financial incentive on the basis of prescribed norms.
- Remuneration to the nodal officers of the Institutions will be purely output based and will be calculated as per the prescribed norms.
- Allocation to AISHE State Unit and University cell will be based on the Number of Institutions.
- Funds would Flow to the Institutions and University Cell through State Unit or through MHRD if State Unit is not constituted.
- A working Group has been constituted under the chairmanship of JS (HE) and all stakeholders as members to monitor the survey and to provide Technical Guidance. Financial Norms for the survey is to be reviewed by the Group, whenever required.

2. Centralised Student Portal

As the higher education system is likely to grow rapidly, it is essential that a centralised portal be made available which can provide some basic information to the students and their parents in a manner that is useful for them for their decision making. The Student Portal will be developed on the basis of data collected under AISHE.

3. Longitudinal and Specialized surveys

The web-based higher education data management system may be used for tracking the progress of Higher Educational Institutions (HEIs) and for carrying out a variety of analysis leading to improved performance of HEIs. Also, the data collected under AISHE can be the baseline data, which will be used for conducting Special & Longitudinal surveys and generating additional data from educational institutions that could be used as inputs for micro level higher education planning at the Central, State and Institutional levels. The

survey/study would be conducted by outsourced agencies under the technical guidance of MHRD.

4. **Support to Other Agencies for regular Data Collection on specific parameters and on parameters incidental to Higher Education.**
5. **Capacity Buildings of States/ Institutions**
6. **Conducting various studies including seminars, sensitisation/ awareness generation, workshops etc.**

Resource Allocation

The Ministry of Human Resource Development is the nodal agency for implementing the scheme. Fund flow for AISHE would be through AISHE State unit. Other Components of the scheme will be directly implemented from MHRD. Item-wise, proposed recurring and non-recurring, estimated expenditure, during XII Plan is indicated below:

Particulars		Total Amount (Rs. In Lakhs)
A	Recurring	
A.1	Software Maintenance	590
A.2	Annual Maintenance of IT infrastructure and software packages	20
A.3	Travel Expenses-Head Quarter	75
A.4	Office Expenses-Head Quarter	40
A.5	Other Administrative Expenses including Expenditure on training/ workshops--Head Quarter	70
A.6	Expenditure on seminars including International seminars	50
A.7	Hiring of Consultants by MHRD	150
A.8	Support to other agencies such as NUEPA, COBSE, AIU, etc. for data collection/ survey/ studies	130
A.9	Lump-sum grant to States for AISHE and related activities based on output	7600
	Units in States	6000
	Cells in Affiliating Universities	1600
Total (Recurring)		8725
B	Non-Recurring	
B.1	Software Development	585
B.2	Procurement of IT infrastructure including software packages	80
B.3	Special and Longitudinal surveys	510
Total (Non-Recurring)		1175
Grand Total		9900

GUIDELINES FOR AISHE STATE UNIT

- The AISHE Unit in the States may be comprised of Principal Secretary /Commissioner level officer from the Department of Higher Education and/ or Technical Education, State Nodal Officers, Sectoral Nodal Officers (Teacher Training, Nursing, Technical) and any other officials engaged in AISHE work as decided by the State. Representatives from other Government Departments of States may be included as per the requirement.
- If there is only one or two Affiliating Universities in the State, University Nodal Officer and Registrar may also be part of AISHE State Unit, if creation of a separate cell in Affiliating Universities is not required.
- In no case payment of salary of regular employees should be made from the scheme.
- The officials involved in the Unit may be given honorarium. The amount of honorarium may be decided on the following broad guidelines.

Number of Institutions in the State	Maximum limit (in Rs.)
Less than 100	5000
100-499	7000
500-1999	10000
2000-4999	15000
5000 & above	20000

- AISHE Cell set up in the Affiliating University should work under the ambit of AISHE State Unit. The fund to AISHE cell will flow through AISHE State Unit. In case, State Unit is not set up, the fund may flow to AISHE cell directly from MHRD.
- AISHE cell is to be created only in affiliating university i.e. universities having attached colleges.
- The expenditure under the scheme may be made on IT equipments including software and internet connectivity, Traveling, workshop, payment of remuneration, Contingency etc
- Other than IT equipments, no asset should be created under the scheme.
- Remuneration to the Institutions will be on the basis of outcome and will be directly transferred to the account of nodal officers.
- Before releasing the remuneration, approval of University/ State Nodal officer/ MHRD would be required. All the forms uploaded by the Institutions should be scrutinized before giving the approval.
- Amount other than remuneration will be released in two installments, 50% in advance and rest of the amount after utilization of 60% of the opening balance plus funds released in the first installment.
- State Units should send a formal proposal before the release of the amount under the scheme alongwith formal order of composition of AISHE Unit.
- The entitled amount for a State/UT will be calculated on the basis of number of institutions during the previous survey year while releasing the first installment.
- The unit may identify Resource persons for providing training and technical guidance and honorarium of the trainer and related expenditure for this purpose may be made under the scheme.

GUIDELINES FOR AISHE CELL IN AFFILIATING UNIVERSITY

- The AISHE Cell in Affiliating Universities may be comprised of Registrar, University Nodal Officer, in-charge college cell and any other officials as decided by the University.
- If there is only one or two Affiliating Universities in the State, University Nodal Officer and Registrar may also be part of AISHE State Unit, instead of creating a separate cell in Affiliating Universities.
- In no case payment of salary of regular employees should be made from the scheme.
- The remuneration to the college nodal officers will be made through AISHE cell of the University.
- AISHE Cell set up in the Affiliating University should work under the ambit of AISHE State Unit. The fund to AISHE cell will flow through AISHE State Unit. In case, State Unit is not set up, the fund may flow to AISHE cell directly from MHRD.
- AISHE cell is to be created only in affiliating university i.e. universities having attached colleges.
- The expenditure under the scheme may be made on IT equipments including software and internet connectivity, Traveling, workshop, payment of remuneration, Contingency etc
- Other than IT equipments, no asset should be created under the scheme.
- Remuneration to the Institutions will be on the basis of outcome and will be directly transferred to the account of nodal officer.
- Before releasing the remuneration, approval of University/ State Nodal officer/ MHRD would be required. All the forms uploaded by the Colleges (DCF-II) should be scrutinized before giving the approval.
- Amount other than remuneration will be released in two installments, 50% in advance and rest of the amount after utilization of 60% of the opening balance plus funds released in the first installment.
- University cell should send a formal proposal before the release of the amount under the scheme alongwith formal order of composition of Cell.

Annexure-I

All India Survey on Higher Education - Financial Norms

AISHE State Unit

Sl. No.	Particulars	Maximum Limit per State (in Rs.)	Remarks	
1	Support to State Unit	Number of Institutions Less than 100	250000	Training workshop/ Seminar @ Rs. 100000, Travel Maximum upto Rs.200000
		Number of Institutions 100 - 499	500000	
		Number of Institutions 500 - 1999	1200000	
		Number of Institutions 2000 - 4999	2000000	
		Number of Institutions 5000 and above	2500000	
2	Travel Expense of Unitary Universities	Rs. 10000 per University		
3	Workshops for Stand Alone Institutions	One workshop @ Rs. 20000 for 100 Institutions		
4	Support to AISHE University Cell	As per Annexure II		
5	Remuneration to Institutions (Universities & Stand Alone Institutions)	As per Norms (Annexure III)		

Annexure-II

All India Survey on Higher Education - Financial Norms

AISHE University Cell

Sl. No.	Particulars	Norms	
1	Co-ordination with Colleges including Contingency Expenditure	Upto 20 Colleges	Rs. 20000
		20 or more Colleges	Rs. 20000+ Rs. 100 per college
2	Travel Expense	Rs. 40000	
3	Workshops	One workshop @ Rs. 20000 for 100 Colleges	
4	Remuneration to colleges	As per Norms	

All India Survey on Higher Education - Financial Norms for Remuneration

Sl. No.	Particulars	Unit Cost (in Rs.)	Criteria
1	University/ University Level Institutions for uploading DCF-I	20000	Large (100 or more Programmes)
		15000	Medium (50 - 99 Programmes)
		10000	Small (less than 50 Programmes)
		5000	University Constituted from Colleges
2	Colleges for uploading DCF-II/ Stand Alone Institution for uploading DCF-III	5000	Large (10 or more Programmes)
		3000	Medium (5 - 9 Programmes)
		1000	Small (less than 5 Programmes)



MEMORANDUM FOR STANDING FINANCE COMMITTEE

FOR

PROPOSAL OF CENTRAL SECTOR SCHEME

**STRENGTHENING STATISTICAL AND PUBLIC INFORMATION SYSTEM
INCLUDING ALL INDIA SURVEY ON HIGHER EDUCATION, CREATION OF A
CENTRALIZED PORTAL WITH CREDIBLE INFORMATION TO STUDENTS ON
QUALITY AND FEES AND DATA ON INSTITUTIONAL PERFORMANCE**

**Government of India
Department of Higher Education
Ministry of Human Resource Development**

December 2013

NO.F 10-14/2011-Stat
Government of India
Department of Higher Education
Ministry of Human Resource Development

Shastri Bhawan, New Delhi,
Dated 5th December, 2013

MEMORANDUM

Subject: Proposal for Standing Finance Committee for Central Sector Scheme, "Strengthening statistical and Public information system including All India Survey on Higher Education, creation of a centralized portal with credible information to students on quality and fees and data on institutional performance".

1. Scheme identification

1.1 Title of the Scheme

Strengthening Statistical and Public information system including All India Survey on Higher Education, creation of a centralized portal with credible information to students on quality and fees and data on institutional performance

1.2 Sponsoring Ministry/ Department

Ministry of Human Resource Development, Department of Higher Education

1.3 Proposed duration of the scheme

2012-2017

1.4 Total cost of the scheme over the proposed duration

Rs. 99 Crores

2. Scheme Status

New Plan scheme included in the current plan period

3. Justification for the scheme

3.1 The justification for taking up/ continuing the scheme may be provided.

Official statistics provide an indispensable element in the information system of a Democratic society, serving the Government, the economy and the public with data about the economic, demographic, social and environmental situation. To this end, official statistics that meet the test of practical utility are to be compiled and made available on an impartial basis by official statistical agencies to honor citizens' entitlement to public information.

To retain trust in official statistics, the statistical agencies need to decide according to strictly professional considerations, including scientific principles and professional

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ethics, on the methods and procedures for the collection, processing, storage and presentation of statistical data.

The Government has accorded high priority to the development of education sector and for this purpose a number of flagship programmes are being implemented to build the infrastructure. However, in the absence of an effective institutional mechanism, the statistics reflecting the outcomes of these initiatives of the Government become available only after a considerable time lag and with a number of limitations.

To prepare a sound data-base on Higher Education, recently Ministry has launched an All India Survey on Higher Education in which data is being collected from all the institutions of higher learning in the country (Approximately 50,000 in number) through electronic mode. Keeping in view the need for generating reliable data on regular basis, the Ministry has decided to continue the survey on an annual basis and for which creation of a scheme is required. During the first year, an adhoc arrangement for funding was made.

The web-based higher education data management system may be used for tracking the progress of Higher Educational Institutions (HEIs) and for carrying out a variety of analysis leading to improved performance of HEIs. Also, the higher education data management system can be used for conducting Special & Longitudinal surveys and generating additional data from educational institutions that could be used as inputs for higher education planning at the Central, State and Institutional levels. Higher education database management system can also provide the desired data to various stakeholders such as national academic depository, planning bodies, research entities, students and other academic bodies.

Similar effort is required to evolve an effective institutional system for collection of statistics in other sub-sectors of education. This is also required to get the timely and quality data on the progress achieved in the social sector significantly the education sector, which is having implications for human development to meet the requirement of policy makers and to fulfill international commitments.

As the higher education system is likely to grow rapidly, it is essential that some centralized portal be available which can provide accurate information to the students and their parents in a manner that is useful for them for their decision making. Many advanced countries have such portal.

3.2 The alternatives that have been considered before firming up the design of the Scheme may be stated. (This should also include alternate modes of Scheme delivery, e.g. outsourcing PPP etc. that have been considered).

Prior to launching of the web based survey, data on higher education was collected directly from States/UTs and compiled manually. States/ UTs were expected to send the data in a prescribed format to the Department of Higher education. Invariably, there was considerable delay in receiving the data from most of the States/UTs. On many occasions, even quality and reliability of data received was not beyond doubt. The problem was further compounded due to unknown incompleteness in data from some of the States. To overcome the various problems faced in collection and compilation of education statistics of higher education, it was decided that a web

based survey on higher education may be conducted for the year 2010-11 and discontinue the practice of collecting the data manually from the States. By adopting web based approach using appropriate ICT application, it was envisaged that entire exercise will be paperless and time lag in bringing out the publication will be substantially reduced.

3.3 Please state whether the scheme proposal has objectives and coverage which overlap with projects/ schemes being implemented by the same or another agency (Ministry/ Department/ State government). In cases of overlap, please state why the scheme needs to be considered as a separate stand alone effort.
The objectives and coverage of the proposal do not overlap with any other project/scheme.

4. Scheme Objectives and targets

4.1 The objectives of the scheme may be mentioned. These objectives should flow from the Scheme justification.

1. Strengthening official Statistical system to produce Education Statistics periodically with timeliness and quality so as to assess and review the performance of education sector and regional divergences across the country.
2. Encouraging all producers of official Statistics to adopt common geographic referencing and coding standards to provide statistical aggregates/ estimates at State, District and Block level.
3. Promoting collection of data in electronic mode
4. Periodically reviewing all regular surveys by undertaking in-house reviews of actual results over time and identifying data-gaps.
5. Developing techniques that reduce burden on data providers
6. Strengthening Institutional Coordination between Ministry and other data producing agencies such as University Grants Commission, All India Council for Technical Education, National University of Educational Planning & Administration, Medical Council of India, State Government Departments, Examination Boards etc.
7. Benefiting students by creating Centralized portal which can provide updated information to students which may be useful for their decision making.
8. To conduct some special surveys and longitudinal studies for more detailed insight of Higher Education in the country.

4.2 The expected date of scheme completion may be stated. This should be realistic and supported with a chart indicating timelines for the important activities, with a critical path analysis, identifying the main constraints.

Regular data collection from all the educational institutions in the country is an annual exercise. It will be an ongoing scheme and expected to continue beyond XII plan. Further, there may be evidence based Special surveys of short term duration and longitudinal surveys of considerably longer duration.

- 4.3 **The specific targets proposed to be achieved of the project/ scheme may be mentioned. These targets should be necessary measurable. These should also be monitor-able, against baseline data. The baseline may be indicated.**
The scheme will lead to current and comprehensive data for evidence based policy making and effective planning.

5 **Scheme Design**

5.1 **Briefly explain the Scheme Design. This should include all components of the Scheme.**

- a. All India Survey on Higher Education in which data is to be collected from all the Higher Education institutions (approximately 50,000). For co-ordinating the activity, a unit is proposed to be set up in each State and a cell in each of the Affiliating universities.
- b. Support to other Agencies such as National University of Educational Planning & Administration, Council of Boards of School Education, Association of Indian Universities for data collection on parameters which are not covered under regular data collection system e.g. examination result, financial Statistics etc.
- c. Creation of a centralized Portal for students.
- d. Support to procure Communication and Computer Facilities,
- e. Software development for collection, compilation and dissemination of data.
- f. Engaging experts at Central/ State level for technical assistance, engaging agencies for co-ordination of data compilation work.
- g. Conducting various studies including seminars, sensitisation/ awareness generation, training at various levels, etc.
- h. Conducting Special Surveys and Longitudinal studies.
- i. **Capacity Building:** The scheme is proposed to be implemented on regular basis and therefore there is a need to train the personnel involved in data collection and compilation at regular intervals. This is also required to ensure the quality of data being collected and ensure its sustainability.

5.2 **In case the scheme is location specific, please state the basis for selection of such location.**

The scheme intends to cover the entire country and is not specific to any particular location.

5.3 **If the Scheme involves creation/ modification of structural and engineering assets or change in land use plans, disaster management concerns as brought out in OM no. 3794/PF-II/2003 dated 19-06-2009 should be assessed. A self-certification in this regard may be enclosed with the EFC memo.**

The scheme does not involve creation/ modification of structural and engineering aspects or changing land use plan, disaster management.

- 5.4 **In case of beneficiary oriented scheme, the mechanism for identification of the beneficiary and the linkage of beneficiary identification with UID numbers may be indicated as advised in O.M. No. 1(3)/PF-II/2001 dated 09.08.2010.**
The scheme is not beneficiary oriented.
- 5.5 **Wherever possible, the mode of delivery should involve the Panchayati Raj Institutions and Urban Local Bodies.**
The scheme is designed to collect educational data in which State Government and/or Institution is directly involved. At present the involvement of local bodies is not envisaged, whenever required, they may be involved.
- 5.6 **In case the Scheme involves land acquisition or environmental clearances, the specific requirements and the status in this regard may be indicated.**
The scheme does not involve land acquisition or environmental clearance.
- 5.7. **The legacy arrangements after the scheduled Scheme duration may be mentioned. In case the Scheme creates assets, arrangements for their maintenance and upkeep may be stated.**
Software developed by NIC will be maintained by NIC.
- 5.8 **Whether the guidelines of Bureau of Energy Efficiency and other related guidelines for energy efficient buildings etc. have been considered /complied with.**
Not applicable.
- 5.9 **Whether the Scheme is secured against natural/man-made disasters like flood, cyclones, earthquakes, tsunamis etc.**
Not applicable.
6. **Scheme cost**
- 6.1 **Please provide the Scheme cost estimate for its scheduled duration along with a break-up of year-wise, component-wise expenses segregated into non-recurring and recurring expenses. It may also be indicated whether land is needed, if so whether which agency is providing for it, and in case the cost of land is to be booked to the Scheme, whether it has been included in the estimates.**

Item-wise, proposed recurring and non-recurring, estimated expenditure, year-wise, involved is indicated below:

(Rs. In Lakhs)

	Particulars	2013-14	2014-15	2015-16	2016-17	Total
A	Recurring					
A.1	Software Maintenance	140	150	150	150	590
A.2	Annual Maintenance of IT infrastructure and software packages	5	5	5	5	20
A.3	Travel Expenses-Head Quarter	15	20	20	20	75
A.4	Office Expenses-Head Quarter	10	10	10	10	40
A.5	Other Administrative Expenses including Expenditure on training/ workshops--Head Quarter	10	20	20	20	70
A.6	Expenditure on seminars including International seminars	5	15	15	15	50
A.7	Hiring of Consultants by MHRD	30	40	40	40	150
A.8	Support to other agencies such as NUEPA, COBSE, AIU, etc. for data collection/ survey/ studies	0	40	40	50	130
A.9	^{Lump-sum} Lump-sum grant to States for AISHE and related activities based on output	1900	1900	1900	1900	7600
	Units in States	1500	1500	1500	1500	6000
	Cells in Affiliating Universities	400	400	400	400	1600
Total (Recurring)		2115	2200	2200	2210	8725
B	Non-Recurring					
B.1	Software Development	85	100	200	200	585
B.2	Procurement of IT infrastructure including software packages	20	20	20	20	80
B.3	Special and Longitudinal surveys	0	170	170	170	510
Total (Non-Recurring)		105	290	390	390	1175
Grand Total		2220	2490	2590	2600	9900

6.2 Estimated expenditure on scheme administration (including expenses on consultants, etc.) may be separately indicated.

It is separately indicated in the expenditure details given in para 6.1.

6.3 The basis of these cost estimates along with the reference dates for normative costing may be provided. The firmness of the estimate may be indicated along with the cost components that can vary, the factors that could cause the variation and the extent of the expected variation.

This is based on the actual expenditure made during AISHE 2010-11 and other similar data collection exercise.

- 6.4 **In case the scheme involve payout of subsidy, the year wise expected outgo, up to the last year of payout, may be indicated.**
Not Applicable.
- 6.5 **In case the scheme intends to create capital assets, employ specialized manpower or involves other activities that necessitate a Recurring Cost of Capital Expenditure (RCCE) (e.g., maintenance and upkeep costs of assets, salary costs of manpower, etc.) over the lifetime of the asset, such expenditures, on an annual basis, may be indicated in the Scheme proposal.**
Wherever applicable, it is separately mentioned.
- 6.6 **It may also be stated whether the agency which would be assigned this legacy responsibility has been consulted and has agreed to bear the continuing recurring expenditure. (e.g., the State governments may need to incur the maintenance and upkeep costs of assets created under Plan schemes.**
The only agency involved is National Informatics Centre (NIC), which is entrusted with the responsibility of upkeep of software.
- 6.7 **The cost towards salary/fees/emoluments of the Scheme human resources as being proposed should be indicated.**
Not Applicable. No new post is proposed to be created under the scheme.
- 6.8 **The component of the costs mentioned at 6.1-6.7, that will be shared by the state governments may be indicated.**
Not Applicable.
- 6.9 **In the event of fund transfer being made to State Govts/ local bodies or other organizations, “grants for creation of capital assets” may be indicated separately.**
Not Applicable.
7. **Scheme Human Resources**
- 7.1 **Please indicate whether the nodal officer directly in charge of the Scheme has been identified. Details about his status, past experience in executing similar Schemes and balance tenure left for steering the Scheme may also be mentioned.**
Deputy Director General in the Department of Higher Education will be nodal officer for implementation of the scheme.
- 7.2 **In case posts (permanent or temporary) are intended to be created, such proposal may be sent on file to Personnel Division of Department of Expenditure separately. Such proposals may be sent only after the overall Scheme proposal is recommended by the appropriate appraisal body (SFC,EFC, etc.).**
Not Applicable.

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7.3 In case outsourcing of services or hiring of consultants is intended, brief details of the same may be indicated. It may also be certified that the relevant GFR provisions will be followed while engaging the agency/consultant.

Apart from in-house people, Experts/Agencies will be engaged on the existing Rates prescribed by Government of India/ States/ Universities on year-to year basis. Amount proposed for this purpose is included in para 6.I.

7.4 In case additional manpower requirement, please indicate the phased requirement over the Scheme timeline (i.e. year-wise break-up of the manpower requirement)

Not Applicable

8 Scheme financing

8.1 The source of financing for the Scheme may be indicated. In case of Scheme already included in the FYP, the specific earmaking may be mentioned. In case of any deviations from this quantum, the sponsoring agency may indicate how the gap will be addressed.

Planning Commission has included the scheme "Strengthening Statistical and Public information system including All India Survey on Higher Education, creation of a centralized portal with credible information to students on quality and fees and data on institutional performance" in the XII Five Year Plan (2012-17) and made an allocation of Rs.200.00 crore for this scheme.

8.2 The availability of funds in the budget of the present year and the requirements projected may be mentioned. In case of any deviations, please indicate how the gap will be addressed.

In the Annual Plan 2013-14, a token provision of Rs.1.00 crore has been made for the scheme. The Projected requirement is Rs. 22.20 crore. The gap may be addressed by re-appropriation of fund.

8.3 If external sources are intended, the sponsoring agency may indicate whether such funds have been tied up. In case firm commitment is not available, alternate plants for arranging funds may be indicated.

Funding from external sources are not intended.

8.4 Whether the funding requirements have been fully tied up with Planning Commission may be indicated.

The need of the scheme is indicated in the Plan document.

9 Scheme viability

9.1 In case of Scheme which have identified stream of financial returns, the financial internal rate of return may be calculated. The hurdle rate is considered at 12%.

Not Applicable.

- 9.2 **In case of Schemes where financial returns are not readily quantifiable (typically social development Schemes), the economic rate of return may be estimated.**
Robust and timely database.

10. Scheme implementation and monitoring

- 10.1 **The administrative structure for implementing the Scheme may be stated. In case new structures/ entities etc. is by and large to be avoided. In case new structures are intended to be created for administering the scheme, the details of such structures and specific justification for the same may be provided. Such new structure should be proposed only if it has been established after due analysis, that existing structures cannot be levered for the proposed/additional work.**

- 10.2 **A flow chart for the intended fund flow mechanism may be indicated. Funds flows for all schemes/projects in states should ordinarily be through the State Government.**

- 10.3 **The monitoring framework the scheme may be indicated. The arrangements for audit of the Scheme may also be stated.**

Ministry of Human Resource Development (MHRD) will be the nodal agency for compiling official Educational Statistics that meets the test of practical utility and making it available on impartial basis to honor citizen's entitlement to public information. Role and responsibilities of various agencies involved in the implementation and monitoring of the scheme is given at Annex-I.

11. Scheme sensitivities

- 11.1 **Any foreseeable constraints/ uncertainties which can affect the technical design, costing and implementation of the Scheme may be indicated.**

- 11.2 **The likely impact of these constraints/ uncertainties on the Scheme parameters may be stated. In particular, the sensitivity of the Scheme cost, Scheme schedule and Scheme viability towards the possible constraints/ uncertainties may be mentioned.**

Software prepared by NIC will be maintained by them. NIC being a Government organization impact of uncertainties is minimal. NIC will be consulted/ involved for software development under the scheme in future also.

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12. Scheme period

12.1 The expected date of Scheme completion may be stated. This should be realistic and supported with PERT chart of the important activities, with a critical path analysis, identifying the main constraints.

12.2 The Scheme closure date should be also indicated beyond which further government support/ disbursal of funds will not be required.

12.3 A time line for the Scheme deliverables (i.e. measurable deliverables phased year-wise) may be included.

It is a new proposal under the XII plan. The scheme is proposed to be implemented on regular basis. Education and Statistics both is in concurrent list and therefore Center have to play a proactive role till the system is placed in State.

13. RCE proposals

Not Applicable.

ROLE AND RESPONSIBILITIES OF AGENCIES

Agency	Role	Activity	Timeline	Financial Implication
MHRD	Co-ordination at Apex Level	<ul style="list-style-type: none"> Overall Co-ordination of All India Survey on Higher Education Liaison with Line Ministries/ Departments, Apex Level Regulatory Bodies, Universities, Colleges and Other Institutions Development of Software, Capacity Building, Technical Guidance, Conducting Studies/ Seminars, Hiring agencies/ experts/ consultants Co-ordination, Monitoring and Technical Guidance for the Statistical activities when entrusted to other agencies such as COBSE, NUEPA, AIU etc Conducting Special surveys and Longitudinal Studies as and when required 	Data Collection throughout the year and release of Publication annually	Software Development, Procurement of IT infrastructure, Travel Expenses, Office Expenses, Other Administrative Expenses, Payment of Honorarium, Expenditure on training/ workshops/ seminars, Remuneration to contractual personnel, support to other agencies
Units in State Government Departments, Agencies hired by State/Central Government	Co-ordination within State covering Districts and Blocks	<ul style="list-style-type: none"> Co-ordination of data compilation- <ol style="list-style-type: none"> All India Survey on Higher Education Any other educational statistics suggested by MHRD Capacity Building, Liaison with Line Ministries/ Departments within State, Conducting Studies/ Seminars, Hiring experts/ consultants 	Data Collection throughout the year	Procurement of IT infrastructure, Travel Expenses, Office Expenses, Payment of Honorarium, Expenditure on training/ workshops/ seminars, Remuneration to contractual personnel
Cells in University	Co-ordination with Colleges	Co-ordination and Technical guidance for data compilation from its attached Institutions, Capacity Building	Data Collection throughout the year	Travel Expenses, Payment of Honorarium, Expenditure on training/ workshops

Comments

S.No.	Comments of Ministries/ Departments	Reply
Ministry of Finance, Department of Expenditure (Plan Finance II Division)		
1	<p>"The cost of the scheme is Rs. 99 crore. As per the instructions contained in the O.M. No. 1(3)/ PF-II/2001 dated 1.4.2010 of this Department, the Expenditure on the Plan scheme costing more than Rs.25 Crores, but less than 100 crores may be considered may be considered by the Standing Finance Committee (SFC). Therefore, the Ministry of Human Resource Development, Department of Higher Education may take action on the proposal as per the delegated financial powers. If the opinion of Department of Expenditure is needed on any specific issue, the same may please be referred to this Department."</p>	No action required.
Integrated Finance Division, Ministry of Human Resource Development		
1	<p>The total estimated expenditure to be incurred during the 12th Plan period has been provided in para-6.1 of the draft SFC memo. The estimated expenditure to be incurred on different items has been provided. The Bureau may, however provide the basis of allocation of amounts for various components and States as provided in the table in para-6.1. The basis as given in para 6.3 does not seem to be sufficient. Also, it does not seem to be sure if expenditure on all these items was incurred in 2010-2011.</p>	<p>The estimated expenditure on All India Survey on Higher Education (AISHE) has been calculated on the basis of Norms for making expenditure on different items. A Working Group has been constituted to finalize the norms of expenditure on AISHE. Presently the Norms have been approved by the Group but it is subject to revision on the basis of decision of the Working Group from time to time. Presently approved Norms is attached at Annexure-III.</p>
2	<p>The funds to be spent on several components of the scheme are to flow to several types of Institutions/States. The manner of release/flow of funds for each components and each type of Institution/States may be imaginatively planned in advance. The manner of making available the utilization certificates should also be thought out in advance.</p>	<p>The flow of fund will be to AISHE units in the State and they will submit the utilization certificate. In rare cases, where AISHE unit is not functional, fund flow will be directly made to the AISHE Cells in the Affiliating Universities/Other Universities and in that case utilization certificates will be obtained from them.</p>
3	<p>A mention with regard to continuation of the scheme beyond 12th Plan period or otherwise may be given.</p>	<p>Para 4.2 has accordingly been amended.</p>

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4	In para-8.2 of the memo, it has been indicated that a token provision of Rs. 1.00 Crore has been made in 2012-2013 (perhaps it should be 2013-2014) for the scheme. The projected requirement of Rs. 22.20 Crore for current financial year will be addressed by re-appropriation of fund. The Bureau may, therefore, have a consultation with IF-1 Section in this regard before the meeting of SFC.	Rupees 1.00 Crore has been allocated for the scheme in the annual plan 2013-14. This correction has been made in para-8.2. As regard to re-appropriation of fund, IF-1 will be consulted after approval of the scheme.
5	The scheme is to be monitored by MHRD at National level. Normally, a specific percentage of the provision in the scheme is set aside for administrative expenditure. In table 6.1, several items constitute administrative expenditure. Also, the details of the expenditure in para 7.3, may further be explained. It may also be stated whether separate provision is to be made for the purpose under the scheme and if so, whether it has been included in the table in para 6.1 of the memo.	In item A5 of para 6.1, the amount has been shown. Expenditure on para 7.3 is included in para 6.1. Experts will be hired as and when required at the rate prevalent at that time. Para 7.3 has accordingly been amended.
6	The role of local bodies as mentioned in para 5.5 should be clearly spelt out and expenditure involved, if any, may be indicated.	In data collection exercise, State Government or Institution is directly involved. If Central/State Government will, any time, require the assistance of local bodies in data collection, it will be sought. Para 5.5 has accordingly been amended.
7	The Bureau may obtain the comments of other concerned Ministries/ Departments/ Stakeholders including Department of Expenditure, Planning Commission, etc. While seeking the comment of Planning Commission, they may be specifically requested to accord inter-alia 'In Principle' approval on the proposal as per the procedure prescribed in the letter No. O-14015/1/2011-PAMD date 17.07.2013 issued by Planning Commission (page-148-149/C).	The requirement about the scheme is mentioned in the XII Plan document also. Relevant extract from the Plan document is placed at Annexure-IV. The SFC was sent to Ministry of Statistics & Programme Implementation, Planning Commission, Department of Expenditure and all Bureaus in the Ministry of HRD for their comments. The comments received have been included in this document.

Planning Commission		
1	Experience in the past suggests that there is lack of coordination and interaction between States, Centre and various agencies. The effective implementation and success of the present proposal hinges on the participation and close involvement of the State government, institutions/universities etc. as the State Unit in State and a Cell in affiliated institution in proposal is the backbone of its success. Therefore, there is a need for improved strategies to be evolved for better coordination and interaction. It is suggested that a Steering Committee under the chairmanship of Secretary (higher Education) with the representation of heads of various stakeholders from all the sectors including Planning Commission, UGC, AICTE, NUEPA etc. to address various issues relating to education statistics may be constituted.	It will be considered at appropriate level.
2	The bulk of HE institutions are under Private management and should be under obligation to furnish all details relating to their institutions to the concerned Agency (AITUC.UGC) Affiliating institution/State Departments. In the interest of transparency, it could be made a legal obligation like Annual Survey of Industry (ASI) through provoking various existing Acts relating to the idea sharing for seeking information.	Action has already been initiated to amend the concerned provision of UGC Act. Further, if required, Statistics Act may also be invoked.
3	The various Agencies have been collecting data on higher education sector. The present proposal should create a mechanism to develop a Synergy among different data collection agencies so that there is no information overload on institutions.	Noted.
4	Quality and reliable authentic recent data is imperative for any meaningful policy intervention for the development of higher education sector. Therefore, there is a need to strengthen the Statistics Division of the Ministry with giving it both Financial and Administrative autonomy to perform various Statistical activities, which in the long run can be made an independent entity/body for data collection and dissemination.	It will be considered at appropriate level.

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Ministry of Statistics & PI, Central Statistics Office (Social Statistics Division)		
1	MOSPI Supports the scheme	No action required.
2	Rs. 76 crore, the amount proposed under item A-7 "Lumpsum grant to States for AISHE and related activities based on output" appears to be on lower side.	The allocation may be reviewed in future on the basis of experience gained during initial years.
3	The Social Statistics Division, CSO. MOSPI should invariably be involved in deciding/developing methodology etc. of the proposed surveys.	Noted.

All India Survey on Higher Education - Financial Norms

Sl. No.	Particulars	No. of Institutions	No. of States/ Universities on the basis of AISHE 2010-11	Maximum Limit per State/ University (in Rs.)	Anticipated Annual Cost (in Rs.)	Remarks (Items on which Expenditure are expected)
(i)	AISHE Units in States	Less than 100	13	250000	3250000	IT Infrastructure Training/Seminar Travel Contingency Consultants
		100 - 499	6	500000	3000000	
		500 - 1999	8	1200000	9600000	
		2000 - 4999	5	2000000	10000000	
		5000 and above	3	2500000	7500000	
			35		33350000	
	Remuneration to Institutions	50625		111725000	Including Travel of Unitary Universities	
(ii)	AISHE Cells in Affiliating Universities	Co-ordination with Colleges, Travel and Contingency Expenditure	225		16500000	
		Workshops			10000000	
Grand Total					171575000	

All India Survey on Higher Education - Financial Norms

Sl. No.	Particulars	No.	Unit Cost (in Rs.)	Anticipated Annual Cost (in Rs.)	Remarks
1					
(i)	University for DCF-I	80	20000	1600000	Large (100 or more Programmes)
		150	15000	2250000	Medium (50 - 99 Programmes)
		380	10000	3800000	Small (less than 50 Programmes)
		15	5000	75000	University Constituted from Colleges
	Total	625	Sub total (1)	7725000	
(ii)	Affiliating Universities (225 Central & State) for Co-ordinating with Colleges				
	Upto 20 Colleges	60	20000	1200000	
	20 or more Colleges	165	20000+100 per college	6300000	
	Total	225	Sub total (2)	7500000	
(iii)	Colleges for DCF-II/ Institution for DCF-III	5000	5000	25000000	Large (10 or more Programmes)
		15000	3000	45000000	Medium (5 - 9 Programmes)
		30000	1000	30000000	Small (less than 5 Programmes)
	Total	50000	Sub total (3)	100000000	
Grand Total (Remuneration/ Honorarium)				115225000	
2	Travel Cost				
	For State Level officers including sectoral officers	84	200000	16800000	
	For University Level officers	625	40000 @ 225 affiliating Universities and 10000 @ 400 unitary Universities	13000000	
	Total			29800000	
3	Workshop				
	All India workshops	15	100000	1500000	
	State level workshops	40	100000	4000000	
	Workshops for Colleges/ Institutions @1 per 100 Colleges/ Institutions	500	20000	10000000	
	Total			15500000	
Grand Total				160525000	

schooling coupled with the shortfall in spending during the Eleventh Plan. A detailed matrix for the outlay is provided in the appendix.

21.328. About two-thirds of the increase in the Twelfth Plan outlays over the actual expenditure in the Eleventh Plan is accounted for by the following four major areas: (i) State universities and colleges (including polytechnics); (ii) equity initiatives (including student financial support); (iii) Central universities and institutions; and (iv) research and innovation initiatives.

IMPLEMENTATION, MONITORING AND EVALUATION

Implementation Framework

21.329. Specific interventions taken up during the Twelfth Plan would be aligned to the broad strategy spelt out in the Plan document. To overcome procedural bottlenecks, a system of empowered committees would be deployed wherever necessary. New structures and institutional mechanisms would also be created for coordination across ministries and agencies.

21.330. The implementation framework for the Twelfth Plan aims to:

1. Interlink expansion, equity and excellence, and focus on those programmes that serve as the locus at which more than one objective is met.
2. Bring down the walls that separate higher education from technical education with a focus on interdisciplinary action points.
3. Recognise State education systems as the principal site for expansion and focus on improving the average quality of State institutions.
4. Recognise that diverse disadvantaged groups suffer from different kinds of disadvantages and need specifically targeted interventions.
5. Revamp student financial aid programmes as the main channel for individual-focused equity schemes.
6. Recognise that fostering excellence is a multi-dimensional challenge requiring simultaneous action on many fronts.

7. Provide greater flexibility to the implementing agencies by grouping schemes under umbrella national initiatives.

Monitoring and Evaluation

21.331. Based on the implementation framework, it would be necessary to develop strategic indicators against various goals that clearly identify what would be measured. Monitoring of achievement of Twelfth Plan targets, annual and cumulative, may be done on the baseline data at the beginning of the Twelfth Plan. Monitoring would not be confined to the flow of funds and their utilisation, but will also include evaluation of programmes and initiatives for outcomes and impact. Services of independent evaluation agencies and researchers could be used for the purpose. Data on institutional performance on various parameters would be collected, compiled and shared. It is important that the practice to assess learning outcomes, to conduct student experience surveys, and to undertake longitudinal studies of students as they transition through the educational cycle into the workplace should be initiated. In order to globally benchmark Indian higher education, India should proactively participate in various international surveys and evaluations.

Higher Education Database Management System

21.332. The country lacks current and comprehensive data for evidence-based policymaking and effective planning. It would be critical to publish a comprehensive data book on the landscape of higher education with complete facts, figures and trends. This could include data across time and geography and should contain both State-level break-up and also inter-temporal trends. Data collection on higher education should be aligned to the International Standards Classification of Educational Data finalised by UNESCO recently. A classification framework of HEIs will also be necessary for getting a better sense of the institutional landscape in the country.

21.333. The Central Government is conducting an All India Survey on Higher Education. This should provide useful insights and can be the first step towards creating a comprehensive higher education

data management system. The onus of providing timely and reliable data on student enrolments and other strategic indicators/key metrics for a centralised web-based higher education data management system should rest with the educational institutions, whether public or private. The web-based higher education data management system should be used for tracking the progress of HEIs and for carrying out a variety of analysis leading to improved performance of HEIs. Also, the higher education data management system can be used for conducting surveys and generating additional data from educational institutions that could be used as inputs for higher education planning at the Central, State and institutional levels. Higher education database management system can also provide the desired data to various stakeholders such as national academic depository, planning bodies, research entities, students and other academic bodies.

Higher Education Policy Research

21.334. India does not have any major higher education research centre or a group of researchers focusing on this key subject. Higher education as an academic subject is not taught at Indian universities. As a result, there is a dearth of dependable, reliable, fact-based, unbiased, ideology-neutral policy information about Indian higher education. It is important for the country to create an ecosystem for higher quality policy research on higher education. In the Twelfth Plan, a network of centres for higher education research located at institutions that have the expertise for such research activity will be created.

21.335. In conclusion, it is imperative that during the Twelfth Plan period the country undertakes an overhaul of higher education and creates a robust, quality-driven system that is accessible to all segments of society. This is essential not only to ensure the continued economic growth of the country, but it is also necessary for social cohesion and to meet the rising aspirations of the country's young people. Building such a system of higher education requires clear articulation of the shortcomings and problems of the current system, a shared understanding of the solutions, and an alignment of the efforts of various stakeholders in higher education to implement these

solutions. This chapter has outlined the widespread systemic changes needed to effect such a paradigm shift in the cultural, policy, strategic and operational environment of higher education in the country.

FINANCIAL RESOURCES

21.336. The indicative Twelfth Five Year Plan Gross Budgetary Support for Ministry of Human Resource development is ₹453728 crore. The Department wise allocation is given Table 21.14 below:

TABLE 21.14
Gross Budgetary Support for the Twelfth Plan

	₹ Crore
Department of School and Secondary Education	343028
of which	
1. Sarva Siksha Abhiyan	192726
2. Rashtriya Madhyamik Shiksha Abhiyan	27466
3. MDMS	90155
4. Others	32681
Department of Higher Education	110700
Of which	
1. Central Universities and Centrally funded institutions	45000
2. State Universities and Colleges, including RUSA	25000
3. Equity initiatives (including students financial support)	7000
4. Technical Education Quality Improvement Programmes	2000
5. Research and innovation initiatives	3000
6. Expansion of skill-based higher education including polytechnics and community colleges	5000
7. National Mission in Education through ICT (NMEICT)	4000
8. National Mission for Teachers and Teaching including teaching quality improvement initiatives	2000
9. Open and Distance Learning	700
10. UGC (multiple schemes including flexi-funds)	10000
11. AICTE (multiple schemes including flexi-funds)	5000
12. Other initiatives (including language development, book promotion and copyright, internationalisation, Planning and so on)	2000

Source: Planning Commission.

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STATEMENT INDICATING XII PLAN PROPOSED OUTLAY AS PER RECOMMENDATIONS OF PLANNING COMMISSION

MINISTRY OF HUMAN RESOURCE DEVELOPMENT DEPARTMENT OF HIGHER EDUCATION

(Rs. in crores)

S.No.	Name of Bureau/Scheme	XII Plan Approved Outlays
1	University & Higher Education	60000.00
2	Open and Distance Education and ICT	4700.00
3	Book Promotion & IPR	300.00
4	Language Development	1200.00
5	Planning , Administration and Global Engagement	2000.00
6	Technical Education	42500.00
	Grand Total	110700.00
<u>A</u>	University and Higher Education	
<u>A.</u>	Central Sector Schemes (CS)	
A - 1	Existing Schemes	
1	University Grants Commission	
1a	Support for Central Universities	10500.00
1b	Support to Deemed Universities under the Central Government	300.00
1c	Other UGC schemes including National Initiative for Excellence in Basic Sciences, new inter-university centres and UGC flexi-fund	9000.00
	Subtotal UGC	19800.00
2	National initiative for Excellence in humanities and social science including support to I.C.H.R , I.I.A.S, I.C.P.R, I.C.S.S.R , PHISPC and NIRD Hyderabad	1400.00
3	Student Financial Aid	
a	Interest Subsidy and contribution for guarantee fund	7500.00
b.	Scholarship	3500.00
	Total Existing Schemes	

STATEMENT INDICATING XII PLAN PROPOSED OUTLAY AS PER RECOMMENDATIONS OF PLANNING COMMISSION

MINISTRY OF HUMAN RESOURCE DEVELOPMENT DEPARTMENT OF HIGHER EDUCATION

(Rs. in crores)

S.No.	Name of Bureau/Scheme	XII Plan Approved Outlays
A-2	New Schemes	
	Central Sector Scheme	
1	National Mission on Teachers & Teaching (including setting up of Schools of Education, teaching-learning centres, summer schools, international visiting faculty programmes)	1000.00
2	National Initiative for quality higher education in indian languages	500.00
3	National initiative on inclusion of persons with disabilities in higher education including polytechnics for polytechnics	500.00
4	National initiative to foster social responsibility including creation of an alliance for community engagement	400.00
5	National initiative on sports and wellness	400.00
	Total New Schemes	2800.00
	Centrally Sponsored Schemes	
1	Strategic support for State higher education-Rashtriya Uchcha Shiksha Abhiyan (RUSA)	25000.00
	Sub Total-Univ. & Higher Education(CS)	35000.00
	Sub Total-Univ. & Higher Education(CSS)	25000.00
	Total (Univ. & Higher Education)	60000.00
B	Open and Distance Education and ICT	
B-1	Central Sector Schemes (CS)	
	Existing Schemes	
1	Assistance to IGNOU & State Open Universities	700.00
2	National Mission on use of ICT in Education	4000.00
	Sub Total-Distance Learning, Scholarship and ICT(CS)	4700.00
C	Book Promotion & IPR	
C-1	Central Sector Schemes (CS)	
	Existing Schemes	
1	Promotion of copyright and IPR	150.00
2	Support for book promotion including National Book Trust	150.00
	Sub Total- Book Promotion (CS)	300.00

STATEMENT INDICATING XII PLAN PROPOSED OUTLAY AS PER RECOMMENDATIONS OF PLANNING COMMISSION

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MINISTRY OF HUMAN RESOURCE DEVELOPMENT DEPARTMENT OF HIGHER EDUCATION

(Rs. in crores)

S.No.	Name of Bureau/Scheme	XII Plan Approved Outlays
D	Language Promotion	
D-1	Central Sector Schemes	
	Existing Schemes	
1	Support for promotion of Hindi, Urdu, Sanskrit and other Indian languages including grants for Central Hindi Directorate, Commission for Scientific and Technology Terminology and other institutions and bodies	1200.00
	Sub Total-Language Development (CS)	1200.00
E	Planning, Administration and Global Engagement	
A.	Central Sector Schemes	
	Existing Schemes	
1	Support to NEUPA, AIU and Auroville Management	200.00
2	Initiatives for global engagement including UNESCO related activities, support for Mahatma Gandhi Institute of Education for peace and sustainable development, Expansion of Maison de l'inde (MDL) in Paris, Strengthening of External Academic Relations through Summerville College and setting up India International Education Centre	900.00
	New Schemes	
1	Strengthening of governance and accreditation system including creation of additional office space	100.00
2	Setting up of Institute/Academies for Academic Leadership in Higher Education	300.00
3	Strengthening statistical and public information system including All India Survey on Higher Education, creation of a centralised portal with credible information to students on quality and fees and data on institutional performance	200.00 → 99
4	Creation of a web based higher education data management system	100.00 <u> </u>
5	Establish network of centres for higher education research Conduct of longitudinal studies and surveys	200.00

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STATEMENT INDICATING XII PLAN PROPOSED OUTLAY AS PER RECOMMENDATIONS OF PLANNING COMMISSION

MINISTRY OF HUMAN RESOURCE DEVELOPMENT DEPARTMENT OF HIGHER EDUCATION

(Rs. in crores)

S.No.	Name of Bureau/Scheme	XII Plan Approved Outlays
	Sub Total-Planning , Administration and Global Engagement)	2000.00
F	Technical Education	
F-1	Central Sector Schemes	
	Existing Schemes	
1	Ongoing schemes for improvement of technical education including flexi fund for All India Council for Technical Education	5000.00
2	Support to Indian Institutes of Technology (IITs)	12500.00
3	Support to Indian Institutes of Management (IIMs)	1700.00
4	Support to Indian Institute of Science (IISc) and Indian Institute of Science Education & Research (IISER)	2000.00
5	Support to National Institute of Technology(NITs) including NIT Chaudhary Ghani Khan Institute	5600.00
6	Support to ISM, Dhanbad and its upgradation	550.00
7	Support to NITIE Mumbai	200.00
8	Support to Indian Institute (s) of Information Technology (Allahabad, Gwalior, Jabalpur and Kanchipuram)	900.00
9	Support to Schools of Planning and Architecture	250.00
10	Support to National Institutes (s) of Teacher Training and Research	250.00
11	Upgradation to Indian Institute(s) of Engineering, Science and Technology	800.00
12	Support for other institutes including SLIET, NERIST, NIFFT Ranchi, CIT Kokrajhar	500.00
13	Setting up IIITs in PPP Mode	800.00
14	Apprenticeship Training and support to BOATs	650.00
	Sub Total	31700.00
	New Schemes	
1	Establishment of multi disciplinary research universities and creation of Centres of Excellence and creating a system for research evaluation and setting up Centre for Research Evaluation	1700.00

STATEMENT INDICATING XII PLAN PROPOSED OUTLAY AS PER RECOMMENDATIONS OF PLANNING COMMISSION

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MINISTRY OF HUMAN RESOURCE DEVELOPMENT DEPARTMENT OF HIGHER EDUCATION

(Rs. in crores)

S.No.	Name of Bureau/Scheme	XII Plan Approved Outlays
2	Creation of centres for Training and Research in frontier areas of science and technology, social sciences and humanities	600.00
3	Setting up of Inter Institutional Centres, creation of Excellence Clusters and Networks, Establishing alliances across institutions	600.00
4	National Initiative for Design Innovation including setting up of Design Innovation Centres, Design Open School and National design Innovation Network	600.00
5	National Initiative for technology transfer including setting up of research parks, and establishment of Council for Industry and Higher Education Collaboration	1000.00
6	Quality Improvement Programme for Management, pharmacy education and hotel management	500.00
7	Support for skill based higher education including community colleges	2000.00
	Sub Total-Technical Education (CS)	7000.00
F-2	Externally Aided Schemes	
1	Tech. education Quality Improvement Programme (existing and new phase)	2000.00
F-3	Centrally Sponsored Schemes	
	Existing Schemes	
1	Support for the Polytechnics in the States including strengthening of existing polytechnics, setting up of new Polytechnics, Community Polytechnics and Women's Hostel in Polytechnics	1800.00
	Sub Total-Technical Education	42500.00